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Manuscript Prepublication Review Process Narrative

20 April 2015

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Manuscript Process

Table of Contents

(U) Introduction	3
(U) About This Document	3
(U// AIUO) Process for Typical Prepublication Review	3
(U) Process Roles	4
(U// AIUO) Process Steps	5
(U// AIUO) Activities	5
(U// AIUO) 1.0 Receive Manuscript	8
(U// AIUO) 2.0 Create Manuscript File and Author File	15
(U// AIUO) 3.0 Review	25
(U// AIUO) 4.0 Prepare Response	38
(U// AIUO) 5.0 Reply to Author	55
(U// AIUO) 6.0 Closeout	63
Manuscript Process Maps	65

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Introduction

(U) The Publications Review Board (PRB) reviews, coordinates, and formally approves all proposed non-official Central Intelligence Agency (CIA) related materials intended for publication by current and former employees and others as obligated by contract.

PRB also facilitates the review and approval of official manuscripts intended for publication by current employees and others as obligated by contract.

(U//~~FOUO~~) The PRB is an independent board and consists of a Chair, an Executive Secretary, a legal representative, and a representative from each of the following: DS, DS&T, DI, NCS, and D/CIA area. The PRB Staff, a small cadre of Information Review and Release Analysts, perform reviews and as necessary research on manuscripts.

About This Document

This narrative has been designed to provide an explanation of the activities involved in each step of the Prepublication Review Process.

Each page will contain a picture and description of the Prepublication Review Process step-related activity, the inputs and outputs of the activity, and the roles involved in the activity. Additionally, the narrative will be continually updated as IMS business needs and user stories are identified to achieve the Prepublication Review Process step-related activity.

Process for Typical Prepublication Review

The Prepublication Review Process begins when a manuscript is submitted for prepublication review to the CIA's Publications Review Board (PRB) and ends when the response has been sent to the author and the manuscript folder has been passed to the Administrative Assistant for closeout in the PRB Database and for filing. The following types of manuscripts in this process include, but are not limited to: Books, Articles, Papers, Letters to the Editor, Screenplays, Speeches, Blogs, presentations, academic papers, videos, and any other communication to outside audiences.

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Current and former employees or contractors, per Agency regulation and their signed secrecy or nondisclosure agreement, are required to submit any written, oral, electronic, or other material intended for "publication" (the sharing of information with others) that **mentions** CIA, intelligence data or activities, or material on any subject about which they had **access** to classified information in the course of their employment or other contact with the Agency (before it is shared with others).

Please keep in mind two key terms in the above paragraph – "**mentions**" and "**access**." While "mentions" is self-explanatory, "access" is broadly defined in terms of Agency computer systems and dissemination platforms that expose an extensive range of classified material and a variety of intelligence information and analysis, including on subjects outside of a primary area of expertise. Generally speaking, if the Agency collects on a topic, analyzes that information, or disseminates the result, prepublication review is required if this information is mentioned in a manuscript. The Board is cognizant of the fact that the prepublication review obligation incumbent upon current and former Agency employees and contractors is fairly expansive.

When there is no prepared text or notes, at a minimum, a summary or outline of the anticipated topics to be discussed or points to be made should be submitted for review. If any specific questions are known beforehand, they must be submitted along with anticipated answers.

Please note that authors with staff or staff-like access are required to submit an Outside Activities Approval Request (Form 879) to the Office of Security for any nonofficial publication or speech/presentation, even if no PRB review is required. A Form 879 is not required for an academic paper if the Agency is funding the corresponding course work, or if an employee is part of a CIA-organized intern, co-op, graduate fellow, or Congressional Fellow program.

Process Roles

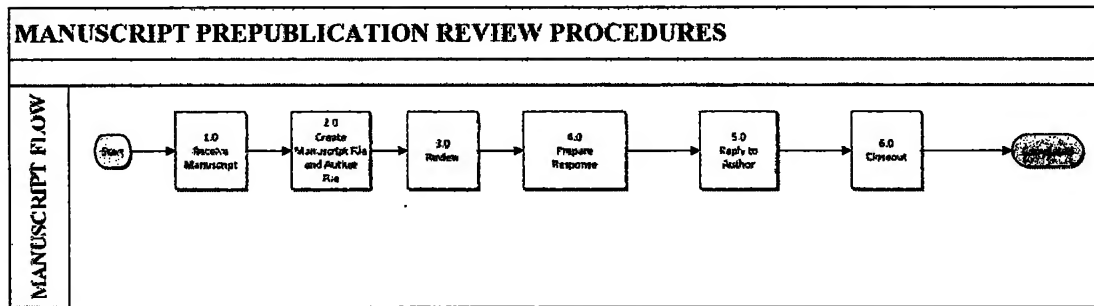
The Prepublication Review Process involves specific roles, designated by "swim lanes". which have been identified for active participants in the Prepublication Review. Each role is involved in activities that occur within their respective swim lanes.

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Process Steps

The high-level Prepublication Review Process consists of six steps, as shown below:



Activities

(U//~~ATUO~~) In the context of this document, the business process covers the submission and review of material proposed for publication or public dissemination by current and former employees and contractors and other individuals obligated by the CIA secrecy agreement to protect from unauthorized disclosure certain information they obtain as a result of their contact with the CIA. This process applies to all forms of dissemination, whether in written, oral, electronic, or other forms, and whether intended to be an official or nonofficial (that is, personal) publication.

Documents may be resubmitted for review to determine if changes to the text create objections, to determine if PRB objections were addressed in the text, to request a reconsideration of PRB objections, or to appeal a reconsideration decision.

In cases that are not standard prepublication review submissions, the appropriate workflow exceptions are noted within the relevant Step throughout this document. As with standard reviews, for all non-standard review activities a new case is created to facilitate tracking and monitoring its progress within the review process. The new case is distinguished from among standard prepublication reviews through the non-standard manuscript file naming convention, which also links the file to any previous review activity(s) on the same manuscript, if applicable. A non-standard file name includes the title, descriptive term, such as "Reconsideration of" or "Galley", followed by the original PRB number, if previously reviewed. This naming convention also assists in prioritizing tasks.

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Galley Review: Prepublication review, initiated by the author, of a non-official manuscript previously reviewed by the PRB to determine if any changes were made to the content since the last PRB review and before it is disseminated for public consumption. The term "Galley" is included in the file name and the Galley version is merged with the last PRB version of the manuscript to determine if PRB recommend changes were addressed in the content. The Galley review findings are sent to the author.

Side by Side Review: Post publication comparative review of a published manuscript, typically a book, with the last PRB version of the manuscript. A Side by Side review is initiated within CIA, typically if there were objections, to determine if the PRB requested changes were addressed in the content. The term "Side by Side" is included in the manuscript file name, the published manuscript is scanned and merged with last PRB version to identify any changes. The lead reviewer determines if the changes are substantive enough to require review. If there are no substantive discrepancies, the findings are recorded in PRB databases. If there are substantive discrepancies, the PRB records its findings and then may forward the findings to OS/DIU for action. PRB does not send a response to the author. Depending on the profile of the work, Side by Side reviews may sit in the queue waiting for a reviewer to become

Reconsideration: Written request from the author to the PRB to reconsider objections identified during a prepublication review. The author has 30-days from the PRB objection letter date to request reconsideration. The term "Reconsideration of" is included in the manuscript file name. Non-official requests are reviewed by the PRB and other equity-holding reviewers who objected. The PRB sends a letter with the reconsideration decision to the author. The PRB forwards official reconsideration requests to the IRO for action and may or may not be aware of the outcome or guidance provided to the author by IRO. If the objection issue is not resolved and the author wishes to appeal the decision, the reconsideration request is the first step in the Appeal process.

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Appeal: Formal process initiated by the author to appeal the PRB's reconsideration decision. The appeal must be submitted within 30 days of the PRB Reconsideration decision date and must include the manuscript and documentation for consideration in the Appeal process. The PRB reviews the Author's appeal and prepares a memo addressing the appeal points, which is coordinated with OGC and the head of the equity-holding directorate(s) and then forwarded to the Executive Director who makes the final Agency decision on the issue.

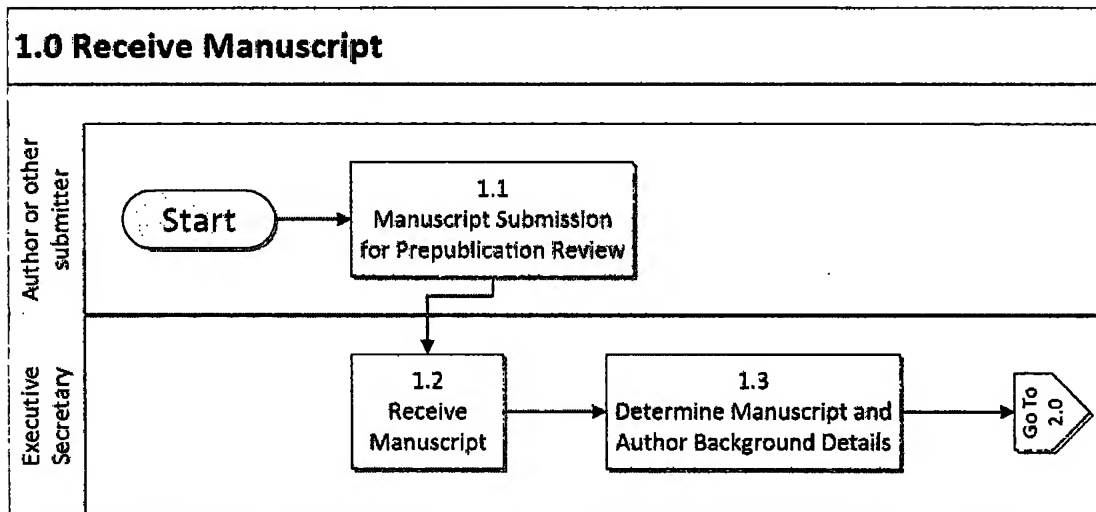
Post Pub Review: Post publication review of a manuscript can be initiated by the author, PRB, Office of Security (OS) or another Government Agency. The term "Post Pub" is included in the PRB manuscript file name. The Post Pub file creation, review and author response procedures are the same as those for a prepublication review. However, because the manuscript has been published, the PRB may notify OS/DIU of its findings whether there are objections to the content or not. If the author submits a manuscript after it has been shared with only a limited number of persons and the possibility exists for the PRB to influence the final published version and restrict the revelation of classified information to a larger audience, it may be considered and handled as a standard prepublication review. Post-pub reviews may be considered a Noncompliance Review. In such cases, the manuscript file name includes "Post Pub and Non-Compliance" (with appropriate Noncompliance number) and the findings are handled according to noncompliance procedures.

Noncompliance Review: Post publication review of a non-official manuscript that is initiated internally within CIA or by another Government Agency. A Noncompliance is not initiated by the author, but, instead, is likely to come from PRB, OS/DIU or an OGA. The CIA tracks noncompliance cases, and as such, the manuscript file name includes the term "Noncompliance" followed by a number which indicates the number of times the author has published a manuscript without complying with the prepublication review process. The creation and review process follow standard review procedures. Following review, The PRB lead reviewer forwards the review findings and the hard copy file to the DS Board Member. If it is the author's first Noncompliance, the DS board member sends a Noncompliance letter to the author advising the author of their responsibility for prepublication review. The findings and the response are coordinated with OS/DIU. If noncompliance has occurred in the past, DS Board member forwards the findings of the review to OS/DIU for action.

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1.0 Receive Manuscript



▷ Step 1.1 Manuscript Submission for Prepublication Review

- The first activity in the Prepublication Review Process is the submission of intelligence-related materials intended for publication or public dissemination by a current or former employee, or by contractor or other individuals obligated by the CIA secrecy agreement. These materials, which include any communications in writing, in speeches, or made through any other method, must reviewed prior to publication whether they are officially sanctioned or non-official personal expressions.
- A manuscript may be resubmitted to the PRB for review to determine if PRB required changes on the original submission were addressed and no substantive changes or classified information were added to the new manuscript, to reconsider PRB objections to the original text submitted for prepublication review, or to Appeal a PRB Reconsideration Decision. For these cases, the submission (1.1) and receive processes (1.2 and 1.3) are the same as for a new submission.

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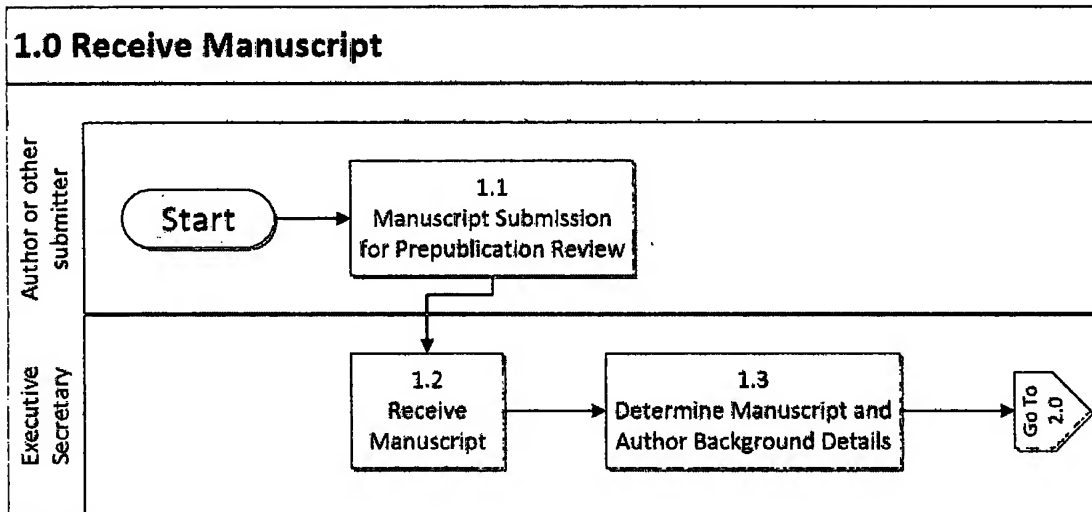
- Some manuscripts are submitted for review after publication, such as Noncompliance and Post Pub reviews, in order to determine if classified information was disclosed. For these cases, the submission (1.1) and receive processes (1.2 and 1.3) are the same as for a new submission.

Role(s) Performing Activity: Author or other submitter

Activity Input: Material proposed for publication or public dissemination as defined in AR 13-10

Activity Output: Prepublication Review Process begins.

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▷ Step 1.2 Receive Manuscript

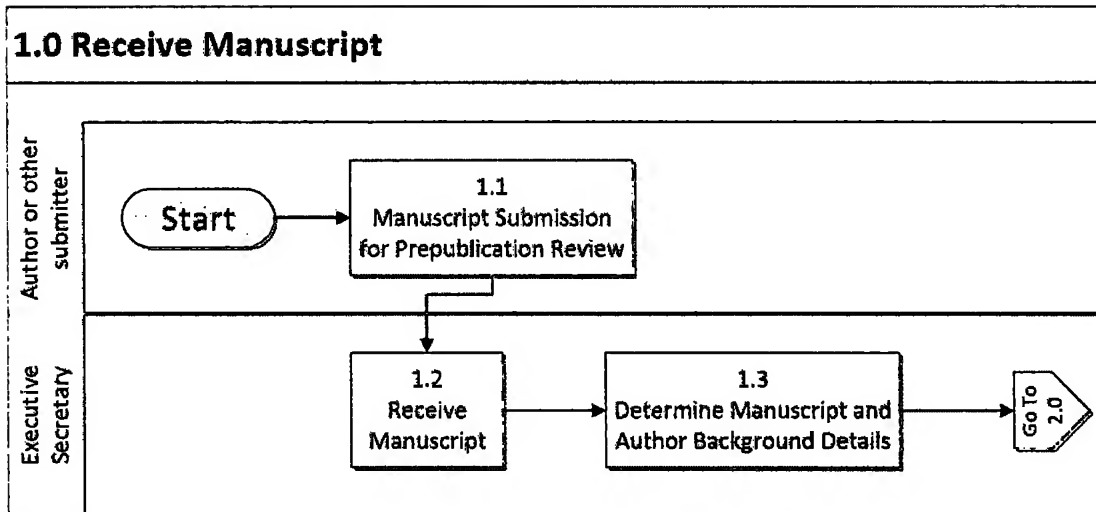
- This activity involves the receipt of a manuscript by the Executive Secretary who creates a Prepublication Review Checklist and Routing Sheet for the hard copy Manuscript File. In step 2.0, Administrative Assistant inputs this information into the PRB database to create the PRB Case Number.

Role(s) Performing Activity: Executive Secretary

Activity Input: Prepublication Review Process begins

Activity Output: Prepublication Review – Checklist and Routing Sheet

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▷ Step 1.3 Determine Manuscript and Author Background Details

- The Executive Secretary uses the Prepublication Review Checklist and Routing Sheet to Record the Status of the Author and background details on the Author and Manuscript.
 - Yellow Routing Sheet for current employee and current independent contractor
 - Purple Routing Sheet for current industrial contractor
 - Blue Routing Sheet for referral from other USG Agency
 - Green Routing Sheet for former employee / contractor
- The following minimum information is required from the author to determine Author Background Details. If this information is not readily available or is not part of the initial communication, the Executive Secretary will contact the author to collect the missing information or will conduct research to obtain additional information.
 - Full Name

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- AIN if applicable
 - Daytime Phone Number
 - Email
 - Mailing Address
 - "Due Date" for a response
 - If a Current Staff employee, obtain the Supervisor's Name.
 - If a Current Contractor employee, obtain the Staff Program Manager Name or the COTR Name (b)(3) NatSecAct
 - For Contractors; information.
- The following Manuscript determinations are made by the Executive Secretary.
- Is the Manuscript official or nonofficial
 - Official: A manuscript that is work-directed and is intended for a general public audience. "Work-directed" means the manuscript is created for a government purpose, on government time, and with government resources. "General public audience" means other than Federal Government employees and contractors. Review will be for classified information and for the Agency appropriateness standard (if applicable).
 - Nonofficial: A manuscript that is a personal (author-owned) manuscript.
 - For Former Employees or Contractors, the review will be for classified information only.

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- For Current Employees and Independent Contractors, the review will be for classified information and for Agency appropriateness standard using a sliding scale based on actual work performed for Independent Contractors.
- Is the Manuscript Fiction or Nonfiction
- The following Author background and status determinations are made by the Executive Secretary.
 - Current Staff or Current Contractor
 - For current contractor, what type:
 - Industrial (supports the CIA thru a contract with a commercial entity)
 - Independent (has a direct contract with the CIA)
 - Former Staff or Former Contractor
 - For Staff and Contractors a cover determination is made:
 - Covert or Overt
 - For Contractors the type of contract is determined; (b)(3) NatSecAct
 -
- Secrecy and Nondisclosure Agreements are requested by the Administrative assistant from OS, printed out, and placed in the Author File.
- Clearance and Accesses Information is requested from OS. That information is printed out and place in the hard copy Author file.
- If it is a new author, the executive secretary will check cover status.

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- If the need arises as a result of the review process, a cover check is done by Reviewers [redacted] (usually). But, in some cases, they may have to deal directly with GDC.

- [redacted] is printed out and place in the hard copy Manuscript file, if applicable.

- Authors with staff or staff-like access are required to submit an Outside Activities Approval Request (Form 879) to the Office of Security for any nonofficial publication or speech/presentation - even if no PRB review is required.

- A Form 879 is not required for an academic paper if the Agency is funding the corresponding course work, or if an employee is part of a CIA-organized intern, co-op, graduate fellow, or Congressional Fellow program.

- The Executive Secretary, in most cases, will defer to the Lead Reviewer in determining whether a manuscript submission requires review based on relevant content. In cases such as Galley or Side by Side reviews, a review determination may be based on the magnitude of changes to text. If a review is required, the manuscript is moved to the next step. If a review is not needed, the case is closed.

- For an Appeal when the Manuscript's Author is associated with another Government Agency, the Executive Secretary will determine if the Appeal is consistent with the Other Government Agency's publication review policies. It is rare that an Appeal will be submitted from another Government Agency.

Role(s) Performing Activity: Executive Secretary

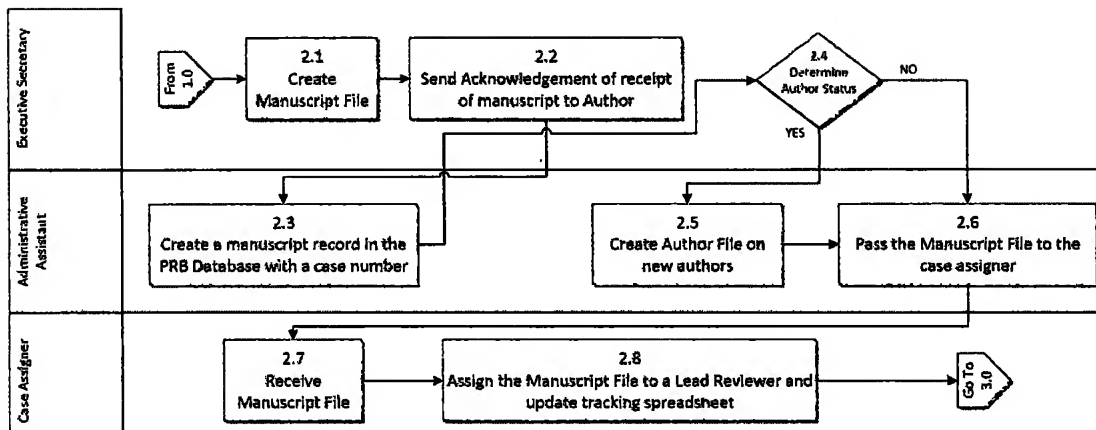
Activity Input: Manuscript submittal

Activity Output: Completed Routing Sheet

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2.0 Create Manuscript File and Author File



▼ Step 2.1 Create Manuscript File

- Once the Author's security clearance information has been confirmed, the Executive Secretary will create and name a hard copy Manuscript File and a corresponding electronic Manuscript File.
- Submissions are normally emails with attachments.
- If the manuscript is submitted as a digital attachment to an email, the digital submission is opened and "Cleaned up" as necessary and then a hard copy is printed and placed in the hard copy Manuscript file. This "clean up" consists of adding line numbers and page numbers, if necessary.
- The Administrative Assistant adds the PRB number to file.
- A digital copy of the manuscript is added to the electronic file.
- The email and the original Manuscript hardcopy, as well as all relevant correspondence with the Author, is added to the PRB hard copy Manuscript file folder.

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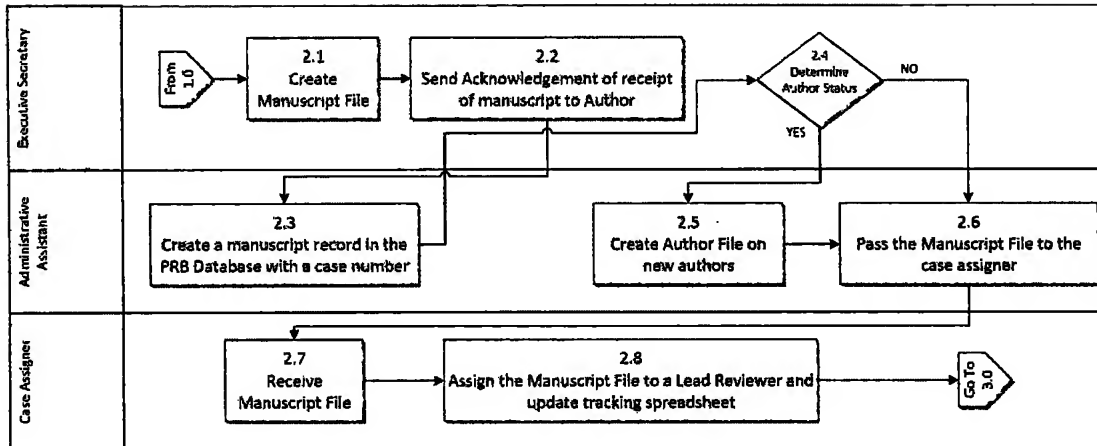
- The Manuscript File naming convention for a standard prepublication review is: PRB number, the Author's last name, date (DDMMYY), and the title.
- For PRB non-standard review activities, including Reconsideration requests, Galley reviews, Side by Side reviews, Post Publication reviews and Noncompliance reviews, a new Manuscript File is created and is named using the following convention: new PRB number, the Author's last name, current date, and the current title followed by an activity descriptor such as "Reconsideration Request of") and the original PRB number both of which are within parentheses.
- For Galley, Side by Side and Reconsideration request reviews, the full text version of the manuscript is located in the S-Drive and is included in the new Manuscript File along with additional information provided by the author. A full text version may be printed depending upon the magnitude of the consideration or changes and included in the hard copy Manuscript File. Once the Manuscript File step is completed, these reviews follow the same process as a prepublication submission through Step 2.4.
- Post Publication and Noncompliance reviews follow the same process as a prepublication review through the manuscript and author file creation process (Steps 2.1-2.8).
- Appeals are logged, tracked and managed in a stand alone excel spreadsheet managed by the Executive Secretary.

Role(s) Performing Activity: Executive Secretary

Activity Input: Completed Routing Sheet

Activity Output: Manuscript File

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▼ 2.2 Send Acknowledgement of receipt of manuscript to Author

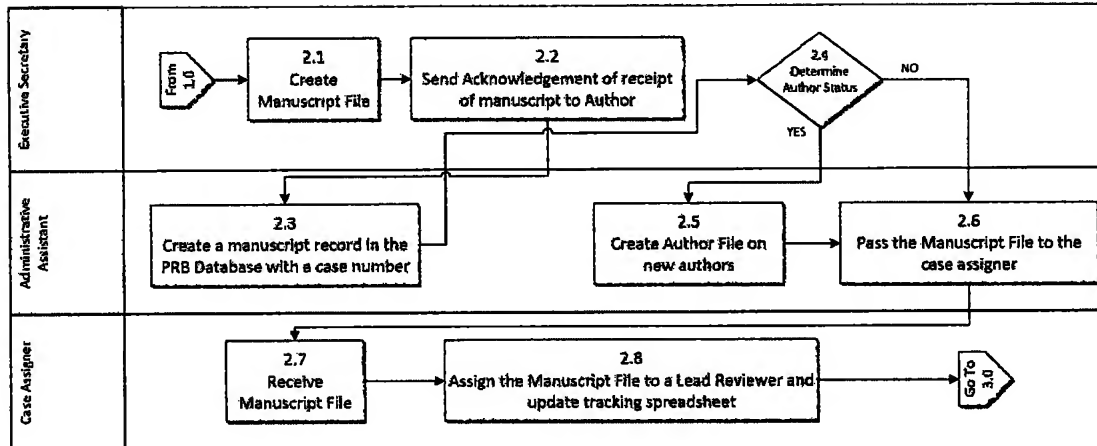
- Authors will receive a confirmation of receipt within one business day. This is done via email on the High Side or Low Side, as applicable. PRB has created a standard response for most submission acknowledgements. It is important to note, however, that for non-standard review activities, the text of this response is modified.
- When this upfront activity is completed the Executive Secretary will pass the hard copy Manuscript File to the Administrative Assistant.

Role(s) Performing Activity: Executive Secretary

Activity Input: Manuscript Submittal

Activity Output: Confirmation of receipt.

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▷ 2.3 Create a manuscript record in the PRB Database with a case number

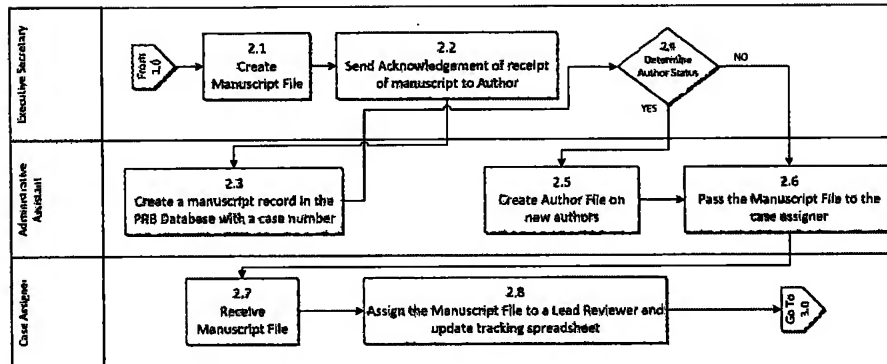
- The Administrative Assistant will create a manuscript record in the PRB Database with a case number and will input all the details related to the author (contact info, etc) and to the case.
- For all non-standard reviews, the Administrative Assistant follows the same process as for standard review cases.
- The Administrative Assistant will update the PRB data base as necessary based on “sticky notes” created by the Executive Secretary as part of the 2.1 activity. If updated information about the Author and other information was identified, it is included.

Role(s) Performing Activity: Administrative Assistant

Activity Input: Manuscript File and Routing Sheet Information

Activity Output: Manuscript record in the PRB Database with a case number

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▷ 2.4 Determine Author Status

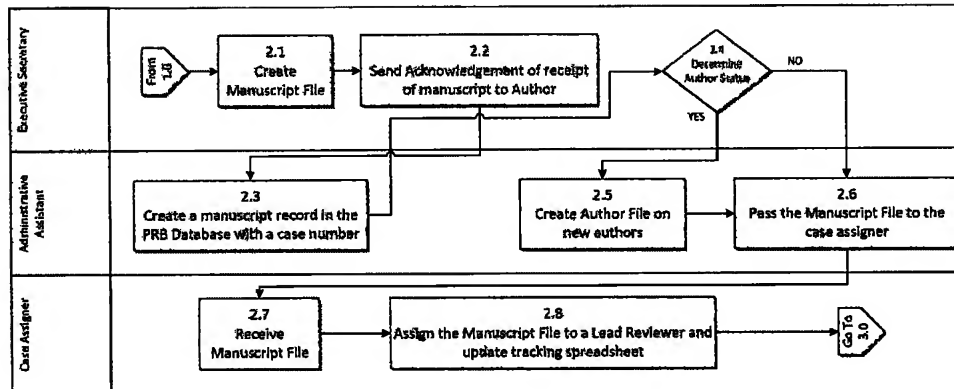
- The Executive Secretary will check to determine if this is the first submission of a manuscript by the author, and, if so, will print out author information for the Administrative Assistant to create the hard copy Author File in step 2.5. If the Author is not a new author, the hard copy Manuscript File is retrieved and moved on to the Administrative Assistant in Step 2.4. Currently there is no electronic Author File. The goal is to have the ability to create an electronic Author file in the PRB TO BE Digital Repository.
- If a first submission by an author who is a current or former employee or contractor, a Bio is created from information in the Lawson DB and is included in the hard copy Author File.
- If a resubmission by the author or if the author has submitted manuscripts in the past, a new Author file is not created but may be updated with current or relevant information. Artifacts in the hard copy Author Folder can include but are not limited to Bio, Agreements, and correspondence or notes related to the Author but not related to a specific Manuscript.

Role(s) Performing Activity: Executive Secretary

Activity Input: Author Name

Activity Output: New Author Determination

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▷ 2.5 Create Author File on New Authors

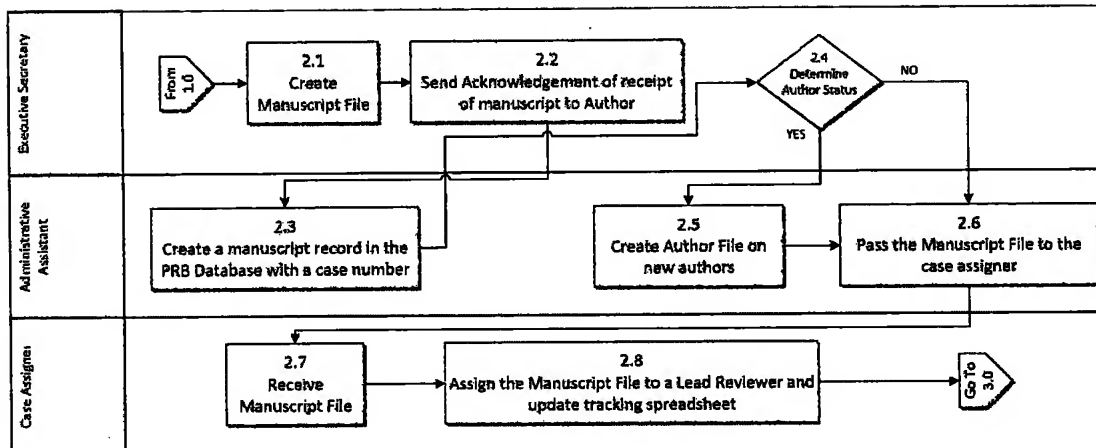
- If a first submission by the author, a “Yes” in activity 2.4, the Administrative Assistant will create an “Author File” that includes a copy of the author’s biography (staff employees only) and secrecy and/or nondisclosure agreement(s). If an author file exists, a “No” in activity 2.4, then no additional action on the part of the Administrative Assistant is required in this activity.
- For a New Author File, the Executive Secretary includes a copy of the Author’s Bio, if required for current staff authors, in the hard copy author file.
- For a New Author File, the Administrative Assistant obtains the secrecy agreements and/or nondisclosure agreement(s) from OS and includes them in the hard copy Author File.
- For review activities when a hard copy Author File already exists, a new author file is not created but the file might be updated as necessary based on new information.

Role(s) Performing Activity: Administrative Assistant

Activity Input: New Author Determination

Activity Output: If 2.4 decision is YES an Author File is created for a new author and is filed in PRB.

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▷ 2.6 Pass the Manuscript File to the Case Assigner

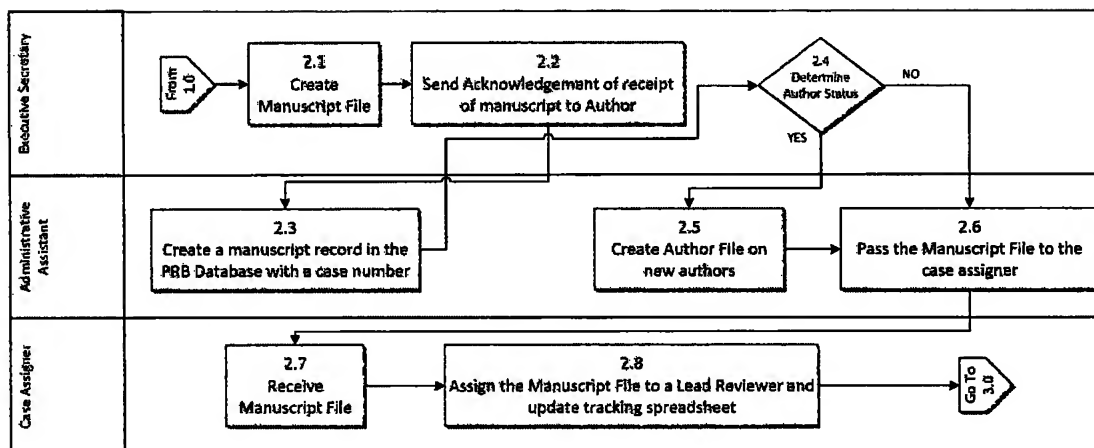
- In this activity the Administrative Assistant reviews the Manuscript File and the Author File, if included, to determine if they are complete and passes the Manuscript File to the Case Assigner and physically files the Author File in a location in PRB.
- If an appeal, the Executive Secretary sends the hard copy file directly to the equity-holding Board Member(s) for action.

Role(s) Performing Activity: Administrative Assistant

Activity Input: Manuscript File and the Author File

Activity Output: Submittal of Manuscript File to Case Assigner

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▼ 2.7 Receive Manuscript File

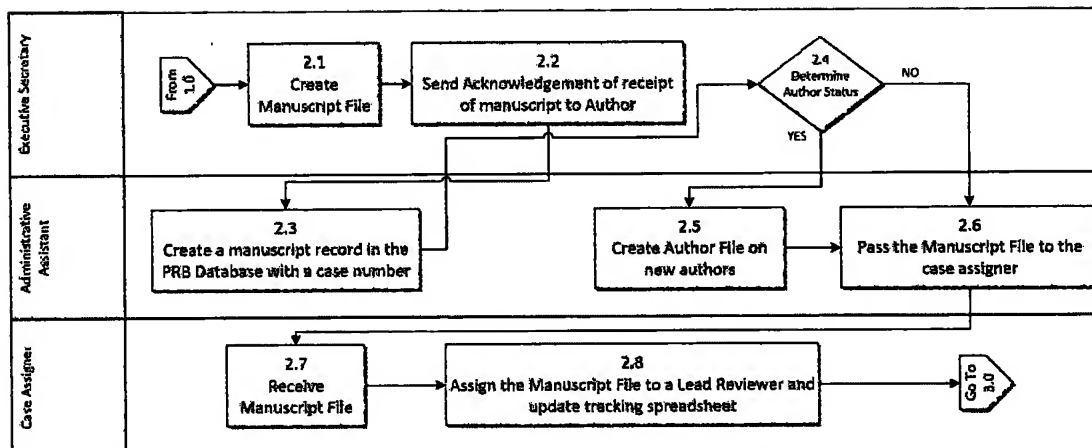
- The Case Assigner receives the Manuscript File, reviews its contents and makes a case assignment decision based on current office workload.
- The assignment of the Lead Reviewer takes into account reviewer workload, interest, skill and experience level of the reviewer, research ability, knowledge of previous manuscripts cases, and uniqueness of the author's history with earlier cases.
- Official and academic manuscripts are assigned to junior reviewers when possible to afford them the opportunity to gain experience.

Role(s) Performing Activity: Case Assigner

Activity Input: Unassigned Manuscript File

Activity Output: Assigned Manuscript File Decision

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▼ Assign the Manuscript File to a Lead Reviewer and update tracking spreadsheet

- The Case Assigner updates the tracking spreadsheet, which is an Excel file located in the Chairman Folder on the PRB S-drive. The following information is recorded in the spreadsheet. Lead Review assigned, Date Assigned, Case #, # of Pages Assigned, and is it Fiction or Non-Fiction.
- Each reviewer has a tab in the spreadsheet where the case assigner tracks each reviewer's metrics i.e. Open Cases, Current # Pages, Total Pages, Total Cases, % of Total Cases, and % of Total Pages to help identify the appropriate reviewer for each case assignment. PRB metrics are reported on a FY basis.
- For resubmissions, such as Galley, Side by Side or Reconsideration reviews, the file is assigned to the original PRB reviewer when feasible.
- For Appeals, the hard copy Appeal File is passed from the Executive Secretary directly to the primary equity-holding Board Member.
- Appeals are logged, tracked and managed in a stand alone excel spreadsheet managed by the Executive Secretary in the PRB S-drive.

Role(s) Performing Activity: Case Assigner

Activity Input: Assigned Manuscript File Decision

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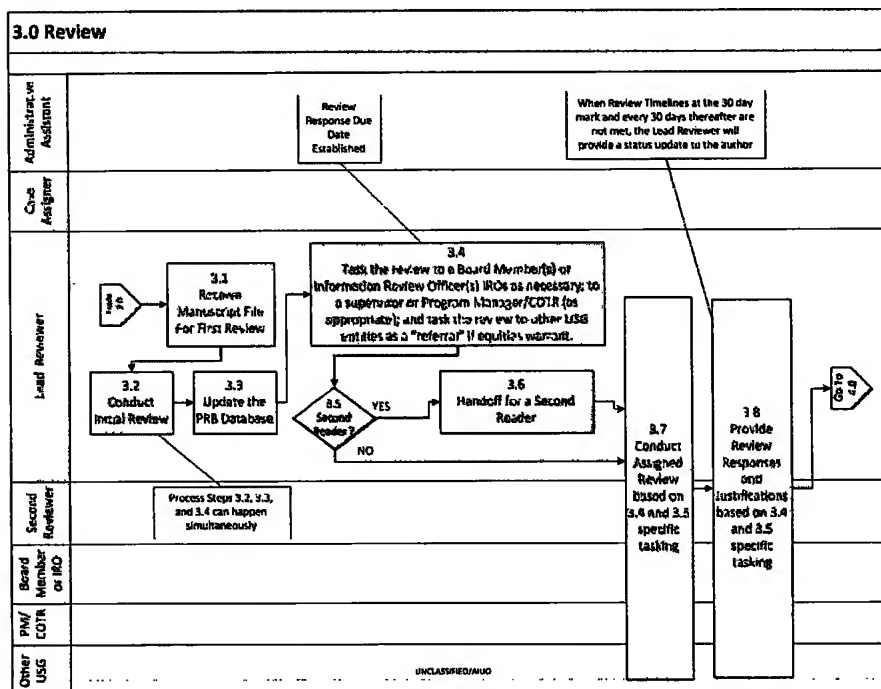
(U//~~ATUO~~) Activity Output: Manuscript File assigned to a Lead Reviewer and tracking spreadsheet updated.

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3.0 Review

Every Manuscript and Resume Case except Appeals follows steps for 3.0 (Review) and 4.0 (Prepre Response).



Appeals follows the following process:

For Appeals the Board Member with the main equities and/or the majority of objections associated with the manuscript is assigned the appeal. The Board Member creates the text language for an Appeal Memo and the Administrative Assistant creates an eMemo. The ememo is coordinated and reviewed, and once finalized, it is submitted for EXDIR concurrence or nonconcurrence.

The review and staffing of the Appeal Memo is managed in eMemo. The Board Member may revise the text within the eMemo based on the feedback obtained during the eMemo review process. The eMemo may take several months to complete the Appeal review and coordination process. The

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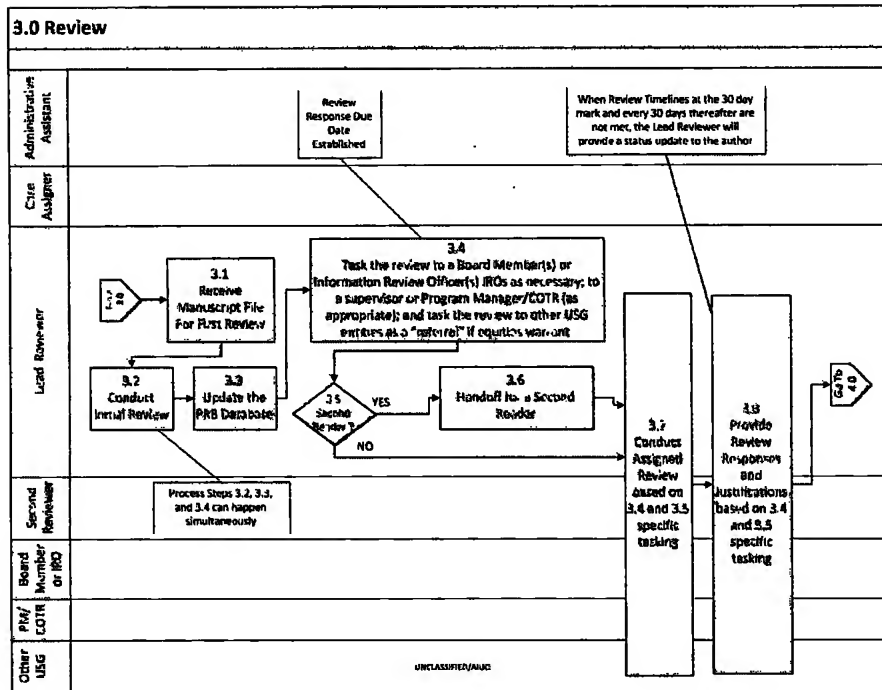
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Administrative Assistant will track the movement of the eMemo to ensure that it progresses through the review process.

At the conclusion of the eMemo Appeal review and revision process, the eMemo is forwarded to the EXDIR for concurrence or nonconcurrence. Once a decision is made, the text of the eMemo PRB Appeal is drafted into a hard copy letter to the author. This letter may be signed by the EXDIR or sent to PRB for a wet signature. The hard copy Appeal letter is forwarded to the PRB Administrative Assistant who mails it to the author.

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▷ Receive Manuscript File For First Review

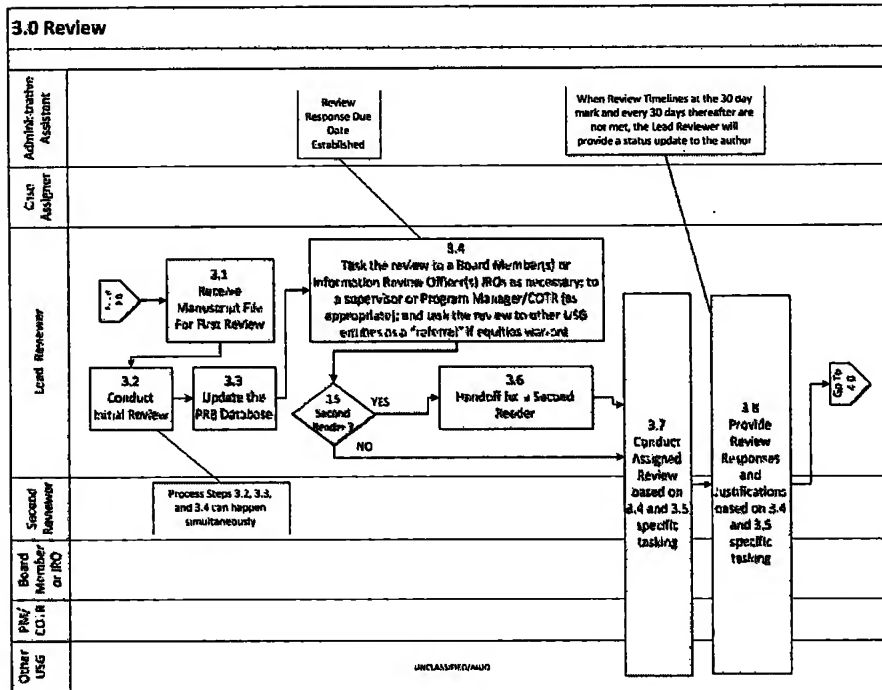
- Lead Reviewer takes the lead in handling, monitoring, reading, researching reviewer objections, and finalizing the case until the response is sent to the author.
- Overall focal point for Manuscript Review

Role(s) Performing Activity: Lead Reviewer

Activity Input: Submitted Manuscript File

Activity Output: Routing Sheet updated and lead reviewer personal data base updated with appropriate review and routing information.

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▷ Conduct Initial Review

- Initial review will take place within one business day* (if possible) of the manuscript folder creation. Initial review includes reading the manuscript, identifying any Equity-Holding Directorates, creating a complete understanding of the author, conducting and annotating research findings.

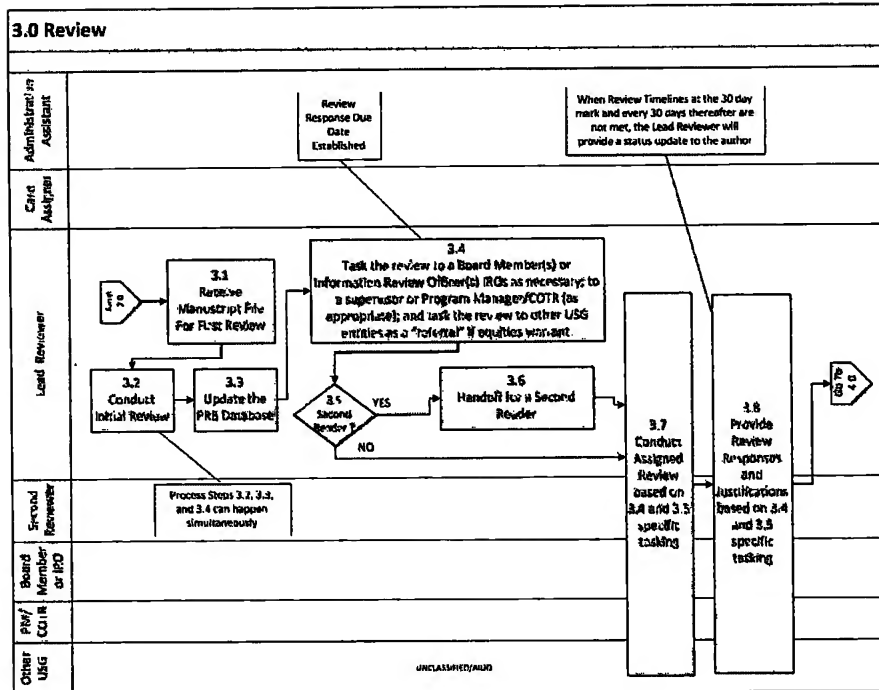
Role(s) Performing Activity: Lead Reviewer

Activity Input: Submitted Manuscript File

Activity Output: Initial Review Completed by Lead Reviewer and manuscript review assignee identified

*** Tasking Email to Program Manager, COTR, Supervisor, Board Member, IRO as appropriate**

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▷ 3.3 Update the PRB Database

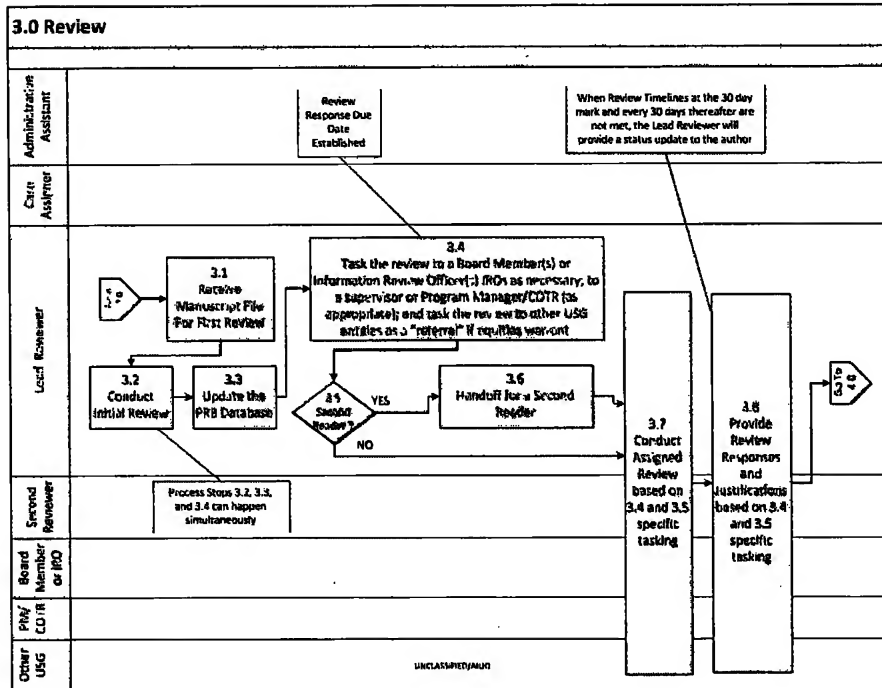
- The minimum PRB Database information required at this step in the process is: Lead Reviewer Name, (Directorate Tasked, IRO Tasked, Supervisor Tasked, other USG Organization(s) Tasked, if any).

Role(s) Performing Activity: Lead Reviewer

Activity Input: Submitted Manuscript File

Activity Output: Routing Sheet and PRB Access Data Base Updated

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▼ **3.4 Task the review to a Board Member(s) or Information Review Officer(s) (IRO) as necessary; to a supervisor or Program Manager/COTR (as appropriate); and task the review to other USG entities as a “referral”, if equities warrant.**

- The general rule is that nonofficial manuscripts will be formally reviewed by two PRB reviewers and may be reviewed by one or more Board Member(s) – either having equity in the substance of the manuscript or by direct assignment.
- Official Manuscripts will be formally reviewed by at least one PRB staff member and all IROs with equities, IROs whose directorate the author is currently assigned to, and IROs of the author’s home directorate. The Chief and Deputy Chief of Litigation Information Review Office (LIRO) will be cc’ed.
- Nonofficial manuscripts will be assigned to any (and all) Board member(s) based on the content of the manuscript. Other Board members, not initially assigned to a case, may personally request, or be asked by

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C/PRB, another Board member, or staff reviewer, to be included as part of the case review.

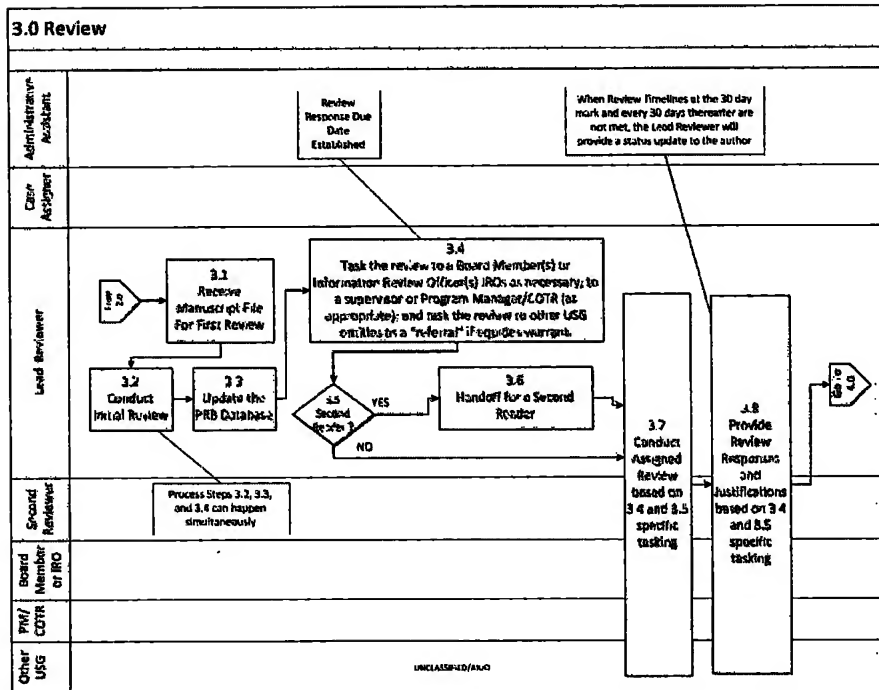
- All manuscripts by a current employee or contractor will be coordinated with the corresponding supervisor or Program Manager/COTR unless it is an academic submission that will not be disseminated beyond the classroom (in those instances, the supervisor will be sent an FYI on the first submission and can request to see all future submissions, but will not be tasked to review by PRB). If the resubmission has no substantive changes, the reviewer has the discretion to waive second/supervisor review.
- Manuscripts dealing with legal or court issues (including court declarations) will be coordinated with the PRB Legal Advisor (unless "walled-off)."
- If a Side by Side review, the reviewer has the discretion, if author has addressed objections and there are no substantive deviations from objection guidance, to waive second/supervisor review.
- If a non-official Reconsideration request, the author's request and justification are reviewed by the PRB reviewer, all Equity Holding Board Members, and, if applicable, the Supervisor, COTR, or PM who objected to the content.
- If an official request for Reconsideration, the author's request and justification, if any, may be reviewed by the PRB reviewer. All official Reconsideration requests are forwarded to the IRO for action.

Role(s) Performing Activity: Lead Reviewer

Activity Input: Lead Reviewer Initial Review

Activity Output: Specific manuscript review assignee Identified and Notified via Email with an attached Clean Copy of Manuscript. The PRB LN Data Base is cced with this assignment information.

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3.5 Second Reader?

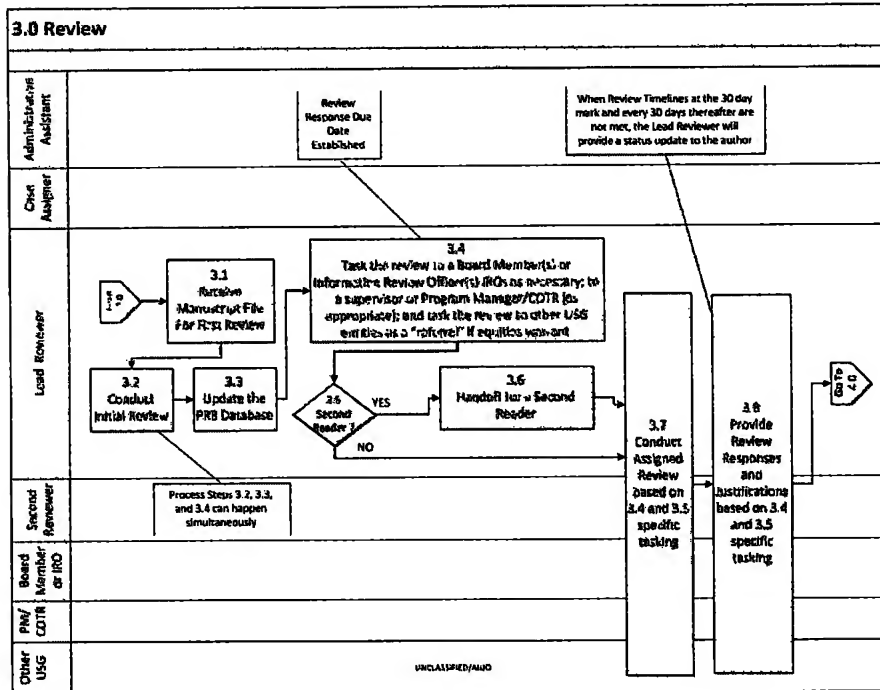
- Following the Lead Reviewer's review, the Manuscript File will be given to a Second Reader or placed in the "Second Reader Required" file for a second review. NOTE: In some cases, like Reconsideration requests, this will RARELY happen, so this should be an optional step in the workflow, even though the step will be used in the majority of cases.
- For an academic manuscript, the Lead Reviewer may determine a second review is not necessary when the manuscript will be approved for "academic use only."

Role(s) Performing Activity: Lead Reviewer

Activity Input: Lead Reviewer Initial Review

Activity Output: Second Reader Determination

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3.6 Handoff for a Second Reader

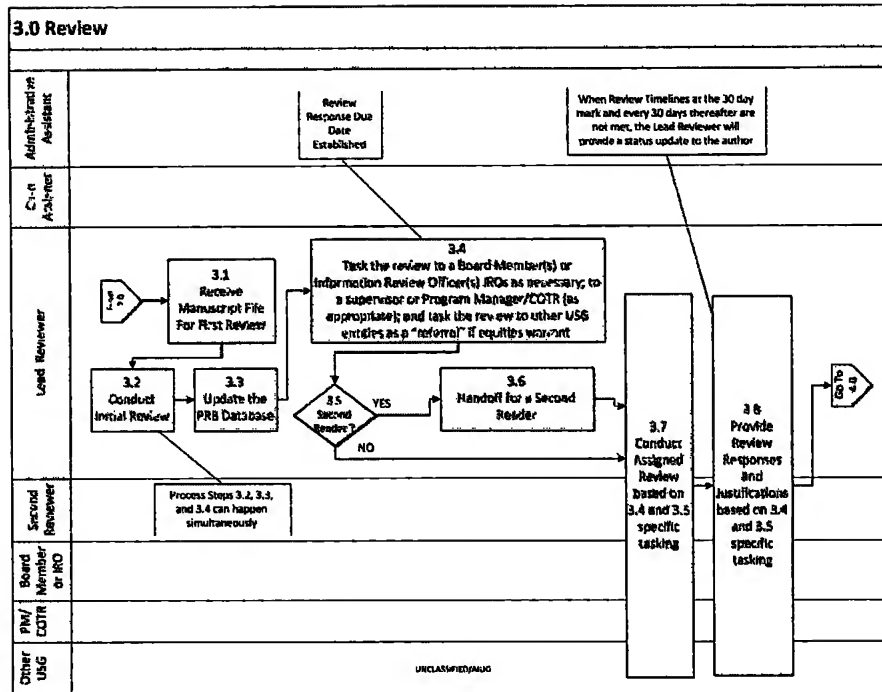
- First and Second reviewers work with hard copies.
- Currently, all reviewers may use a different color to highlight and create their comments so the merge/consolidation process can be managed

Role(s) Performing Activity: Lead Reviewer

Activity Input: Positive Second Reader Determination

Activity Output: The hard copy Manuscript File is physically placed in bin for Second Reader, or hand carried to Second Reader, or Second Reader is made aware of its location on the Share Drive (in this case, simultaneous review can occur).

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▷ Conduct Assigned Review based on 3.4 and 3.5 specific tasking

- All manuscript review assignees will be afforded the opportunity to provide substantive input during a manuscript review and write their review responses and justifications.
- Review assignees may determine that additional equities are involved and may reach out for additional reviews based on the specific manuscript. The Lead Reviewer is informed when additional reviews have been identified, so the Lead Reviewer can effectively manage the overall review timeline. In such cases, the Lead Reviewer will usually be included in the 'CC' line of the email sent to the additional reviewer(s) but this can depend on the individual Board Member practice.
- Individual review assignees may have a personal file they maintain to collect and store review artifacts for current and future reference. This personal file may contain their working copy of the manuscript, which, in many cases, is not returned to the Lead Reviewer.

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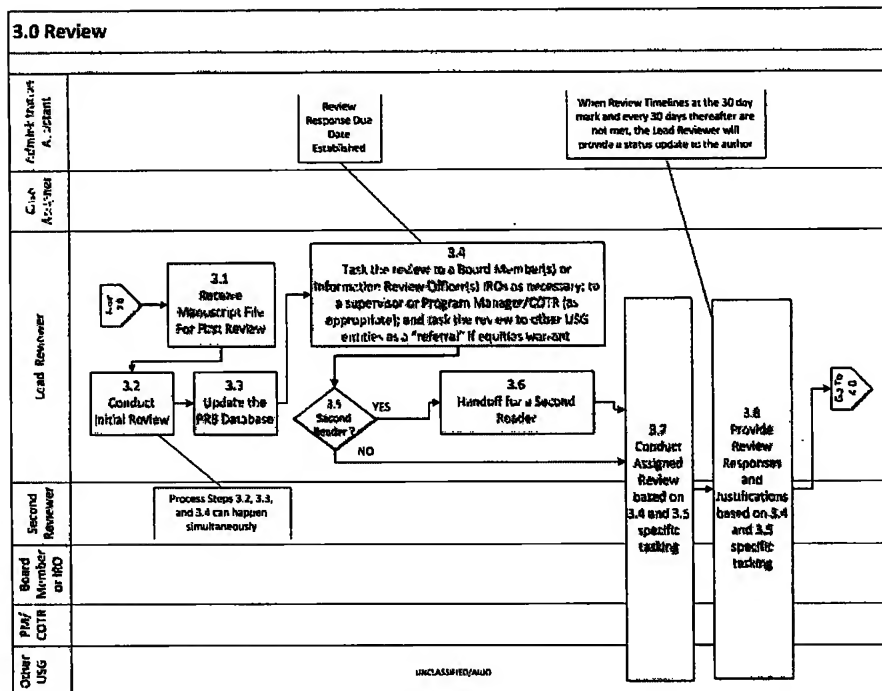
- Second reader conducts research on their own objections, annotates first reader research objections as necessary (by using different color sticky notes and/or flags on the hard copy manuscript file), and/or identifies additional follow-on actions.

Role(s) Performing Activity: All Identified manuscript review assignees

Activity Input: Review Tasking from Lead Reviewer

Activity Output: Review Completed

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➤ **3.8 Provide Review Responses and Justifications based on 3.4 and 3.5 specific tasking**

- All manuscript review assignees provide their review responses and justifications to the Lead Reviewer via email. Note, that this email will oftentimes NOT contain the working copy of the manuscript, but will only list the objections which are mapped to the manuscript (ex., page X, paragraph Y, "text to be deleted").
- PRB has a weekly Case Status meeting with all reviewers and board members to review the current status of cases (to Include Appeals) and to discuss open issues or questions.
- For non-official manuscripts, review responses may include acceptable alternate text to the objections.
- For official manuscripts, IRO may direct the author to make specific language changes. IRO responds to the author via Lotus Notes. IRO

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makes the final decision regarding content and may or may provide justification.

Role(s) Performing Activity: All Identified manuscript review assignees

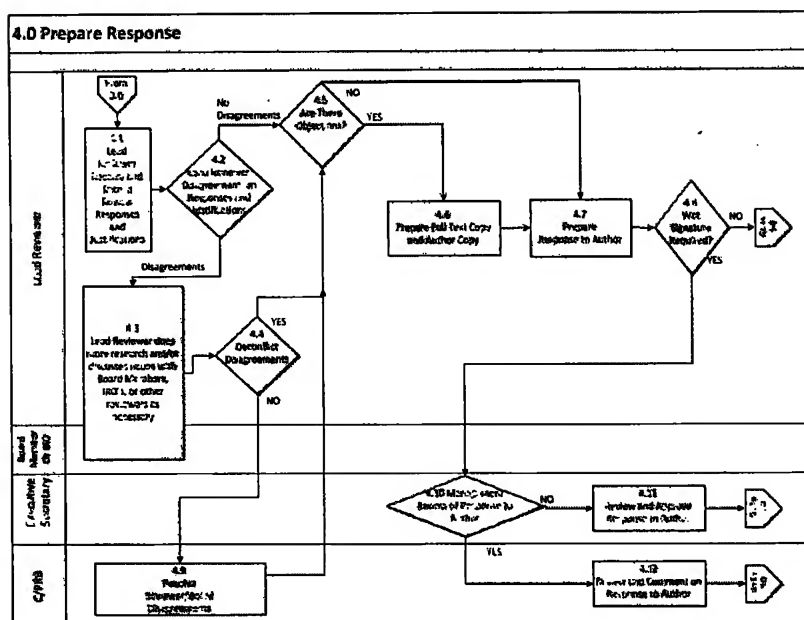
Activity Input: Review Tasking from Lead Reviewer

Activity Output: Review Responses from manuscript review assignees

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4.0 Prepare Response



► 4.1 Lead Reviewer Receive and Record Review Responses and Justifications

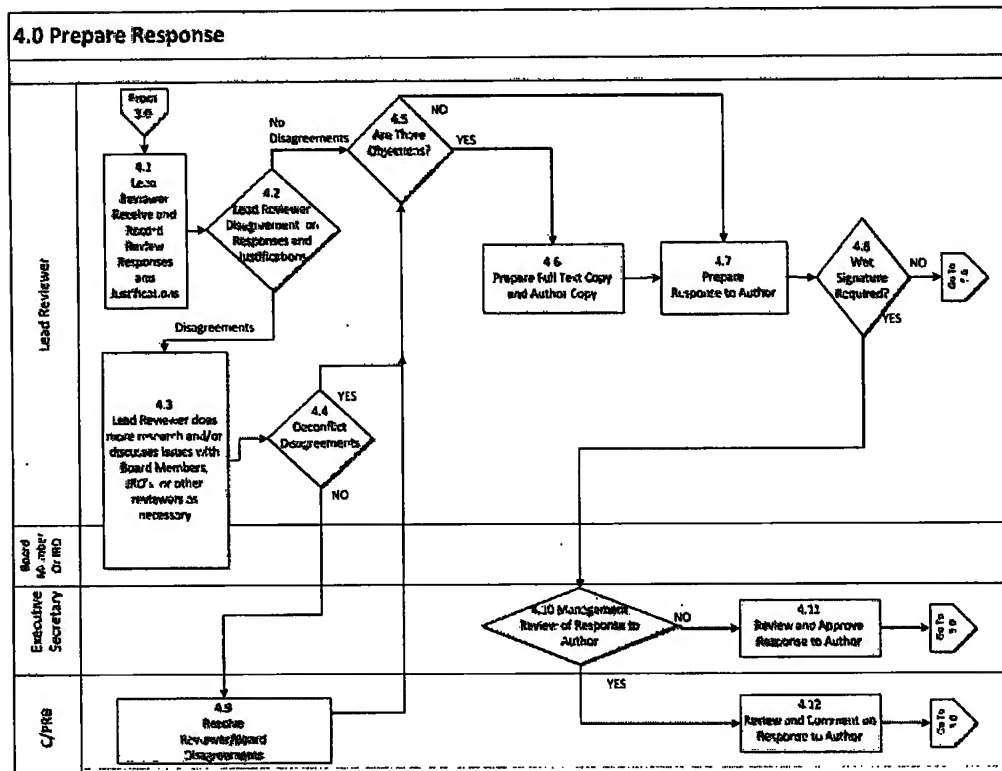
- The Lead Reviewer receives all manuscript review assignee responses and justifications, prints them out as they are received, places them in reverse chronological order in the hard copy Manuscript File, and annotates the routing sheet attached to the Manuscript File. The Lead Reviewer at this point may start creating a full text electronic copy of the manuscript and may perform research on any objections.

Role(s) Performing Activity: Lead Reviewer

Activity Input: Manuscript review assignee Responses and Justifications

Activity Output: Lead Reviewer Records Responses

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► 4.2 Lead Reviewer Disagreement on Responses and Justifications

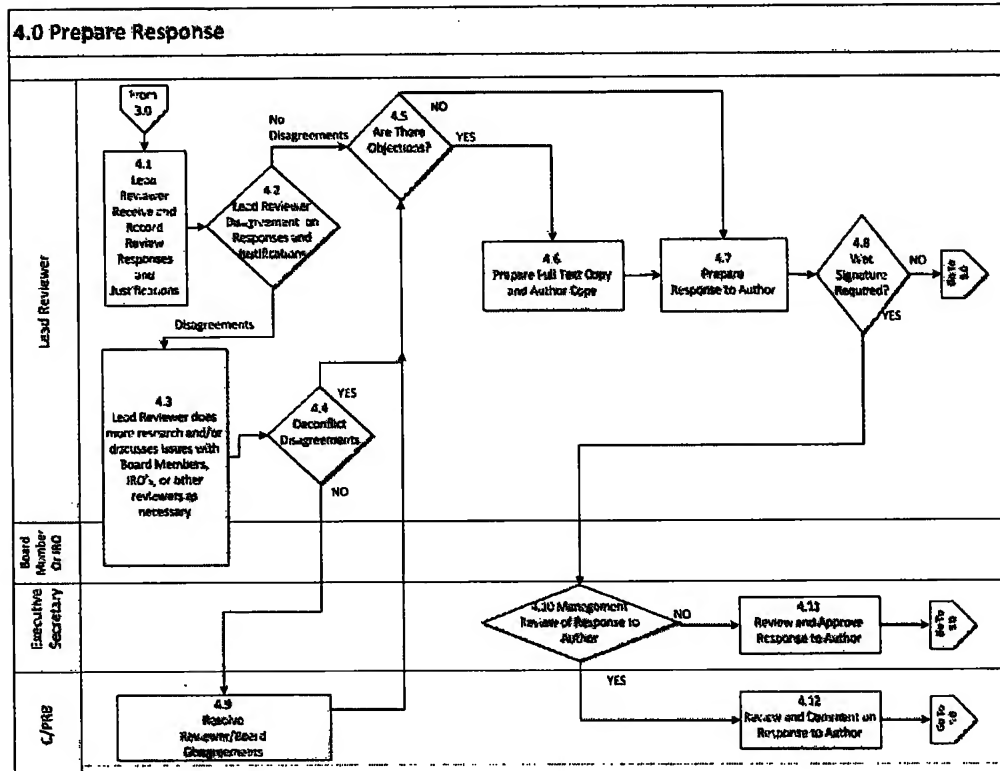
- The Lead Reviewer reviews and reconciles/merges all Responses and Justifications and does more research as necessary and makes a determination if there are any disagreements that need to be addressed or not. If there are no disagreements the Lead reviewer proceeds to Activity 4.5. If there are disagreements the process moves to activity 4.3.

Role(s) Performing Activity: Lead Reviewer

Activity Input: Review and Research Responses, Justifications, and Objections.

Activity Output: A determination that there are or are not disagreements with the review and research responses, justifications, and objections.

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► **4.3 Lead Reviewer does more research and/or discusses issues with Board Members, IRO's, or other reviewers as necessary**

- If there are disagreements identified in activity 4.2, the Lead Reviewer will conduct additional research, coordinate with assigned reviewers on any objections that need deconflicting, and/or discuss issues with Board Members, IROs, or other reviewers as necessary.
- For official manuscripts including resubmissions, IROs takes action in reconciling objections with the author and/or with the author's supervisor. For official manuscripts, PRB does not have a role in this step.

Role(s) Performing Activity: Lead Reviewer and appropriate review assignees

Activity Input: Disagreements on Review Responses and Justifications

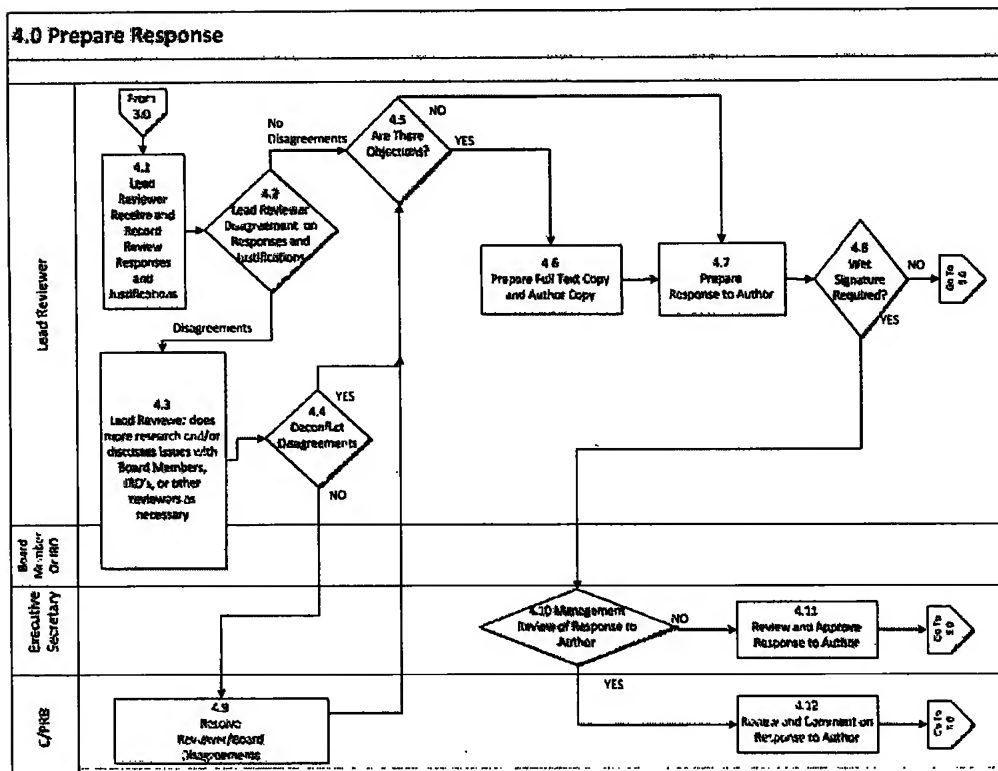
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Activity Output: Additional research and disagreements discussions between the Lead Reviewer and appropriate review assignees

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► 4 Deconflict Disagreements

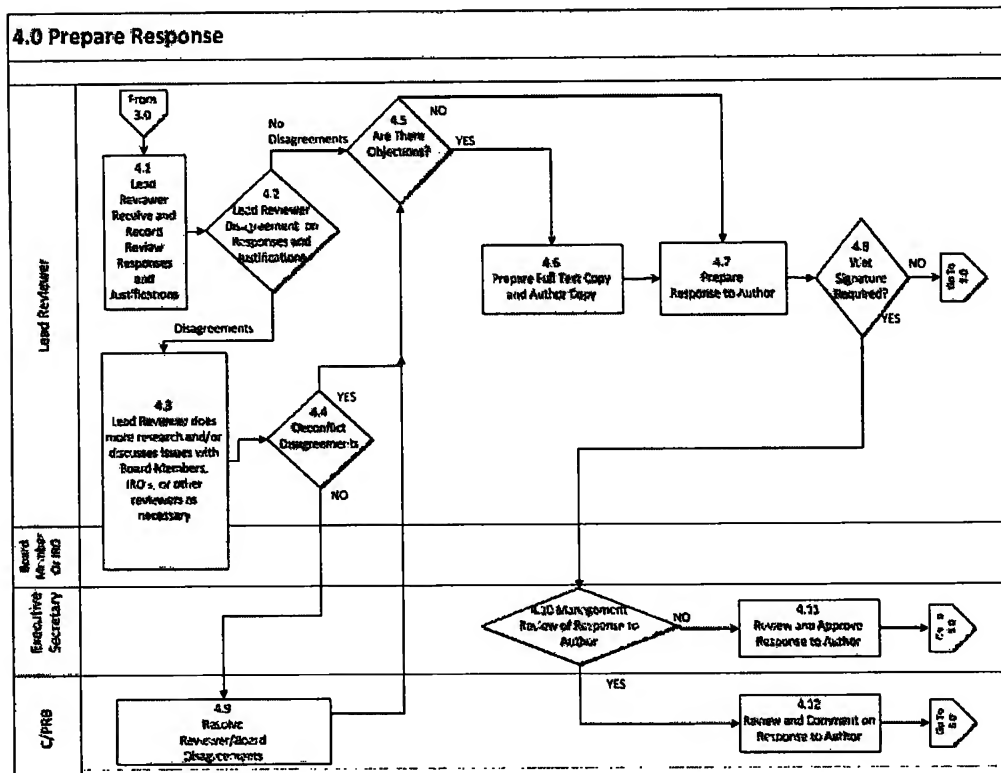
- If disagreements resulting from the review of a non-official manuscript (as identified in activity 4.3) are resolved by the Lead Reviewer and the appropriate review assignees, the process moves to activity 4.5. In cases where the disagreement is not resolved, the disagreement is escalated to C/IRRG for resolution (Activity 4.9).
- For disagreements over official manuscripts, PRB defers to IRO per Step 4.3.

Role(s) Performing Activity: Lead Reviewer

Activity Input: Disagreements

Activity Output: Feedback to Lead Reviewer

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► 4.5 Are There Objections?

- If there are no disagreements resulting from Activity 4.2 or if the disagreement has been resolved in Activity 4.4 or 4.9, the Lead Reviewer determines if there are any objections. If there are no objections, the process moves forward to Activity 4.7 and a response to the author is prepared. If there are objections, the process moves forward to Activity 4.6 and a full text copy is prepared.
- Reconsideration requests, Side by Side reviews and Galley reviews follow the same process as prepublication reviews through Step 6.0.

Role(s) Performing Activity: Lead Reviewer

Activity Input: Disagreement Outcomes

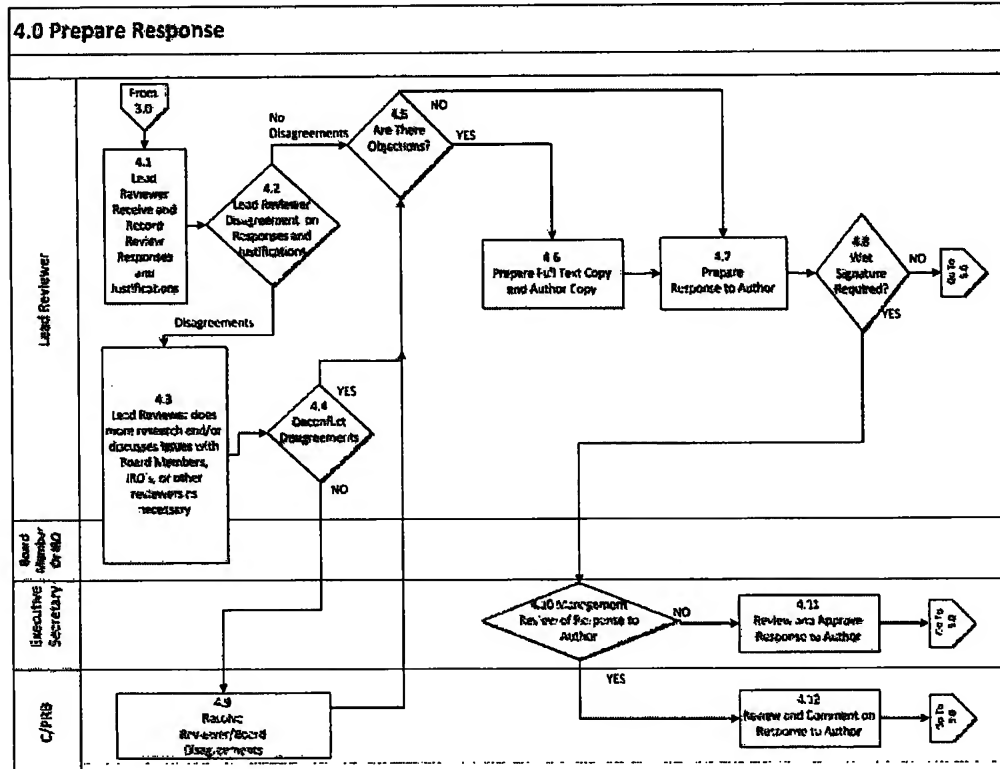
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Activity Output: Decision to either approve the Manuscript without objections or notify the author of objections.

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► **4.6 Prepare Full Text Copy and Author Copy**

- The PRB S-Drive file plan is to create an Author Folder for each author. All PRB cases for that author are filed in the PRB S-Drive Parent Author Folder.
- If a manuscript has objections, the expectation is that a Full Text Copy will be prepared and saved to the Author Folder in the PRB S-drive.
- In appropriate cases as determined by the Lead Reviewer, an Author Copy will be prepared and saved to the Author Folder in the PRB S-drive.
- The objections are compiled for a response to the author, in the form of an email or signed letter in Step 4.7.
- The preparation of the Full Text copy and the Author copy is accomplished in the digital environment. The full text copy contains the transparent and

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or highlighted objections and any comments by the Lead Reviewer. The Author copy contains only the objections that are identified by black-outs.

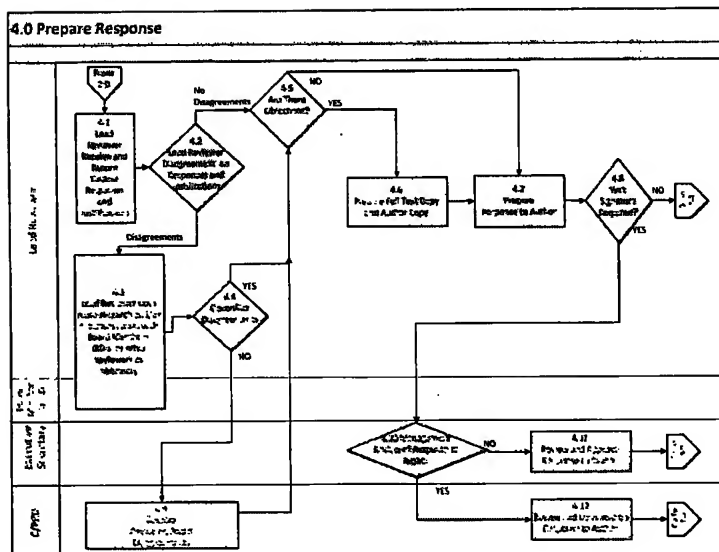
- Only the pages that have the objections are printed out and placed in the manuscript file. A copy of these pages are included in the Response to the Author, as an email attachment or as hard copies sent via USPS.
- For manuscripts with objections, an original copy or a merged version, a Full Text Copy, and an Author copy are included in the Author Folder on the PRB S-drive.

Role(s) Performing Activity: Lead Reviewer

Activity Input: All review assignee Responses and feedback to any Objections

Activity Output: Full Text Copy and Author Copy containing all objections.

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▷ 4.7 Prepare Response to Author

- Lead Reviewer prepares a written Response to Author. The form of the response to the author can be:
 - A letter to be signed and mailed to the author with or without an email notification.
 - An email on the high side with a memo attachment containing the objections or an approval.
 - An email to the author on either the high or the low side
- If there are no objections or it is a provisional approval, the response to the author is via an email unless there is no email address, then the response is via USPS depending on the status of the author.
- If a Reconsideration request or Galley review, PRB Reviewer prepares the response to the Author.
- If a Side by Side review, no Author response is prepared by PRB. If any objections are found in a Side by Side review, PRB MAY forward their findings to OS/DIU.

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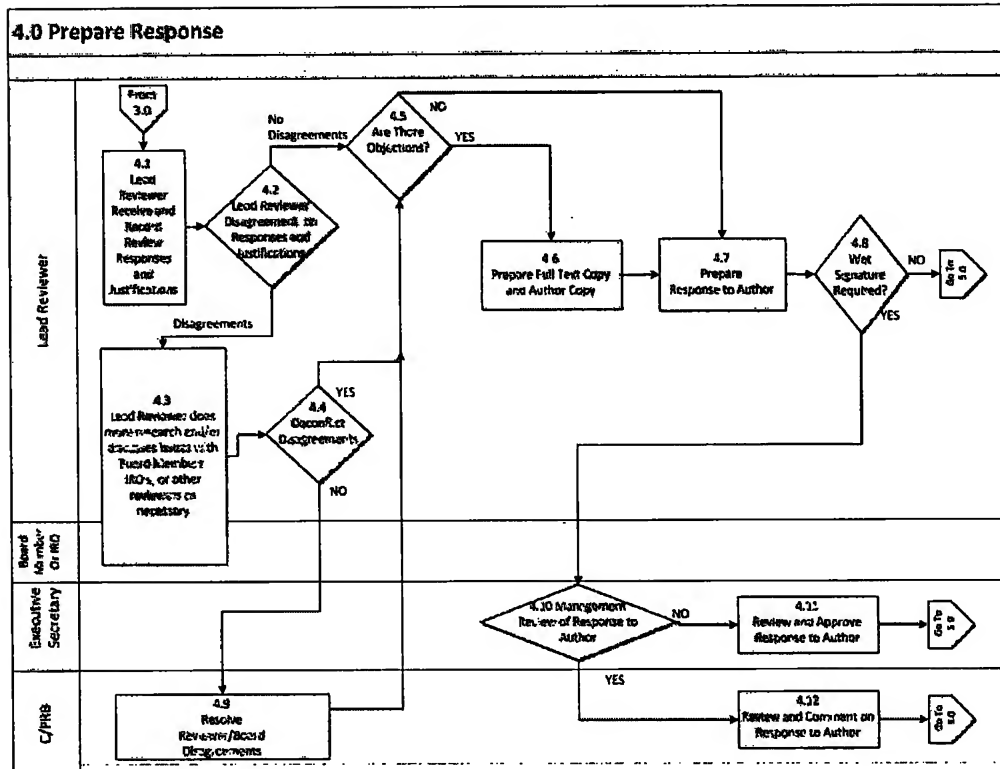
- If a Post Publication review, the lead reviewer prepares a response and may forward the findings to the DS Board Member and OS/DIU (in the case the Post Pub Review was requested by DIU). The author is reminded of their prepublication responsibility.
- If a Non-Compliance review, no Author response is prepared by PRB. The reviewer includes a original full text copy and the review findings in the Manuscript File and forwards it to DS Board Member. In some cases, the PRB reviewer is also requested to provide the submitter with the review findings.
- If it is the first Non-Compliance incident by the author, the findings are recorded by the PRB and reviewed by DS Board Member who creates a letter reminding the author of their prepublication responsibility which is coordinated with OS/DIU. If a previous incident has occurred, the Non-Compliance review findings are forwarded by the DS Board member to OS/DIU for action.

Role(s) Performing Activity: Lead Reviewer

Activity Input: Full Text Copy and Author Copy

Activity Output: Response to Author

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► **4.8 Need a Wet Signature?**

- The Lead Reviewer will review the material for the Response to the Author, including all the prior reviewer responses and feedback, and determine if a “wet signature” Author Response from the Executive Secretary is needed. This determination is made by the Lead Reviewer when the response will deviate from the standard response template, the manuscript review objections were particularly contentious or for other reasons as determined by the lead reviewer. A printed letter containing a wet signature is sent via USPS.
- If the Lead Reviewer determines there is no need for a “wet signature”, the Response to the Author activity moves to Activity 5.1 (Send Reply to the Author).

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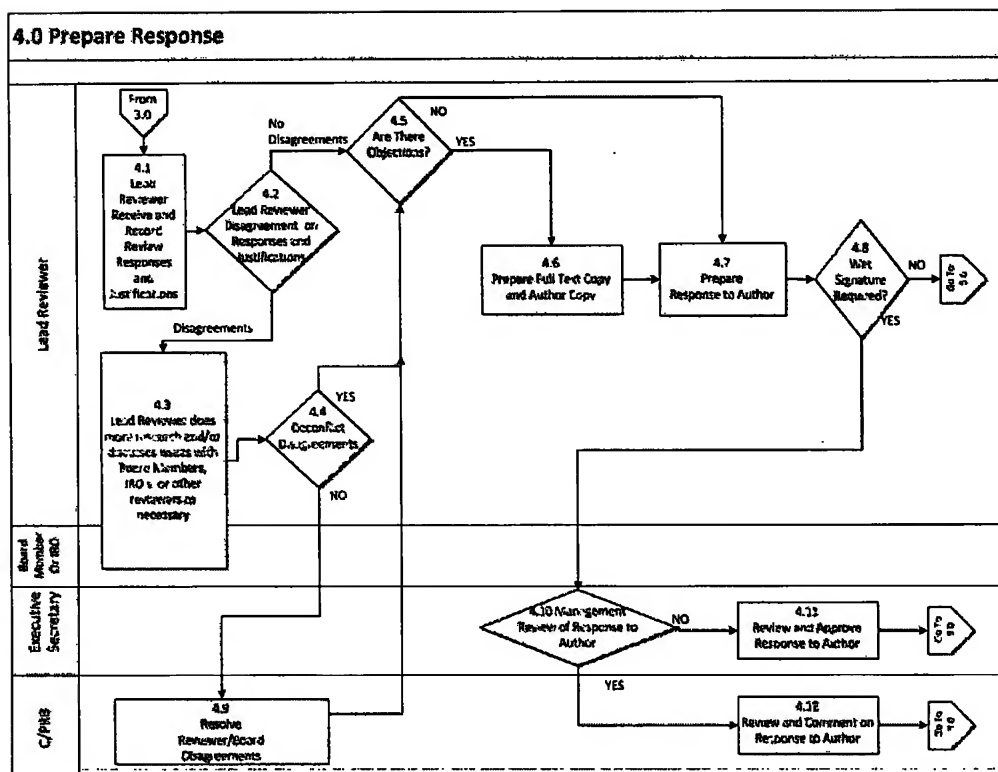
- If the Lead Reviewer determines there is need for a "wet signature" the Response to the Author is submitted to the Executive Secretary for a review and approval (activity 4.10). A hard copy letter is created by the PRB Administrative Assistant for signature and then mailed to the author.
- If a first Non-Compliance, the DS Board member drafts a hard copy letter with a wet signature, which is sent to the author. If the author has a history of noncompliance, OS/DIU takes action.
- If a Side by Side review, no response is sent to the author. The PRB review findings are included in PRB S-drive or an Email is sent to the PRB Data Base. Further action may be taken by OS/DIU.
- If an Appeal, at the conclusion of the eMemo Appeal review process, the eMemo is forwarded to the EXDIR for concurrence or nonconcurrence. Once a decision is made, the text of the eMemo PRB Appeal is drafted into a hard copy letter to the author. This letter may be signed by the EXDIR or sent to PRB for a wet signature and then subsequently mailed to the author by the PRB Administrative Assistant.

Role(s) Performing Activity: Lead Reviewer

Activity Input: Response to Author and a Special Consideration Pink sheet or not.

Activity Output: If the Lead Reviewer judges that the Response to the Author does not require a wet signature, the process proceeds to Step 5.0. If the Response to the Author is judged to require wet signature by the Lead Reviewer, the process proceeds to activity 4.10.

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► **4.9 Resolve Reviewer/Board Disagreements**

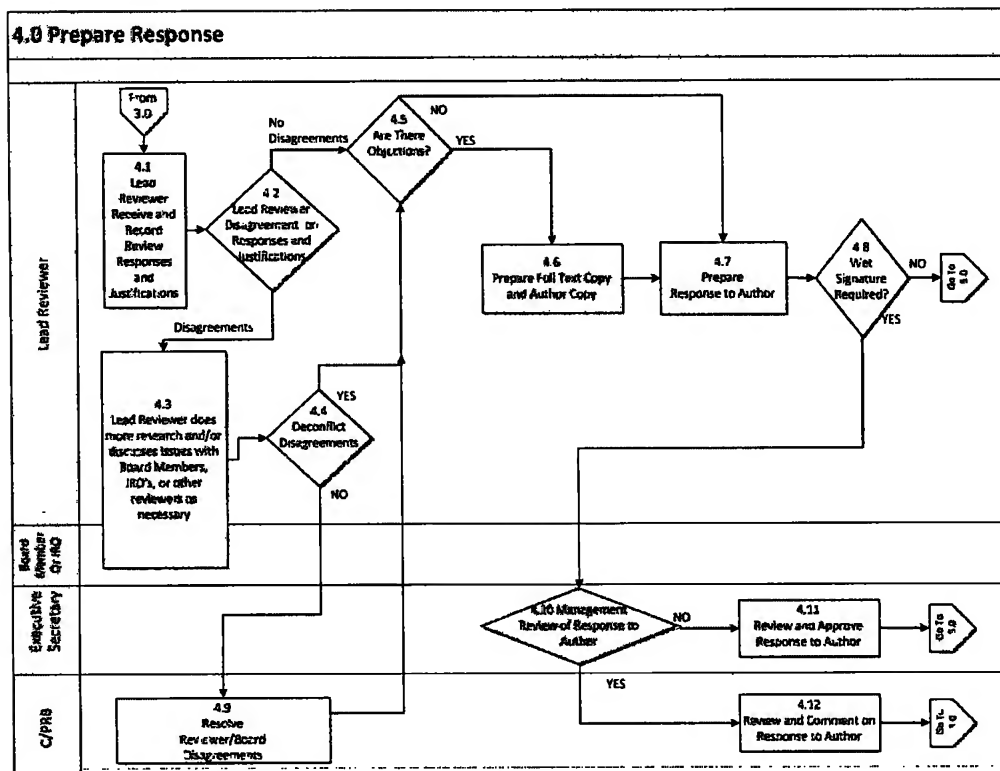
- For most PRB Reviews if there is a disagreement (s) that cannot be resolved by the Lead Reviewer the disagreement(s) is forwarded to the C/PRB for review and resolution. Once the C/PRB has made a decision, the decision is sent to the Lead Reviewer in activity 4.5.
- The C/PRB does not usually get involved in reconsideration disagreements between PRB and the IROs. However, if a disagreement cannot be resolved, it is brought to the attention of C/IRRG for resolution.

Role(s) Performing Activity: C/PRB

Activity Input: Unresolved disagreement(s)

Activity Output: Disagreement resolution decision

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► 4.10 Management Review of Response to Author?

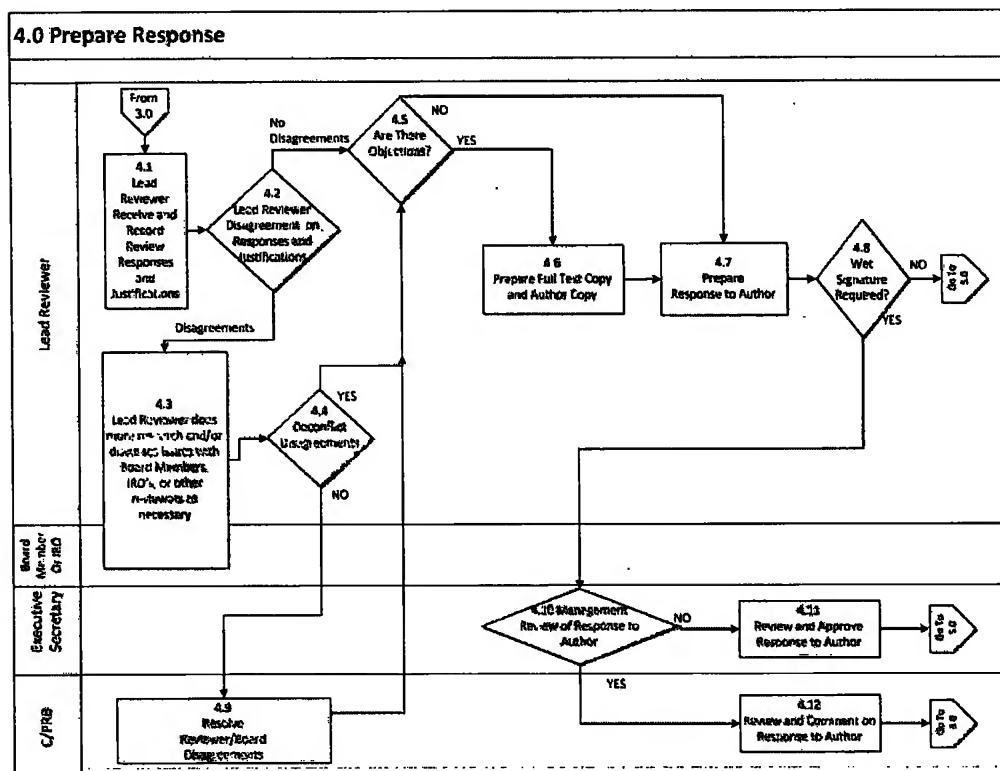
- PRB Supervisor and/or Executive Secretary will review the Response to the Author to determine if the Response to the Author needs to be reviewed by C/PRB.

Role(s) Performing Activity: PRB Supervisor and/or Executive Secretary

Activity Input: Lead Reviewer Wet Signature Yes Determination

Activity Output: Review and Approve Author Response Task assigned to the PRB Supervisor and/or Executive Secretary or C/PRB.

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► **4.11 Review and Approve Response to Author**

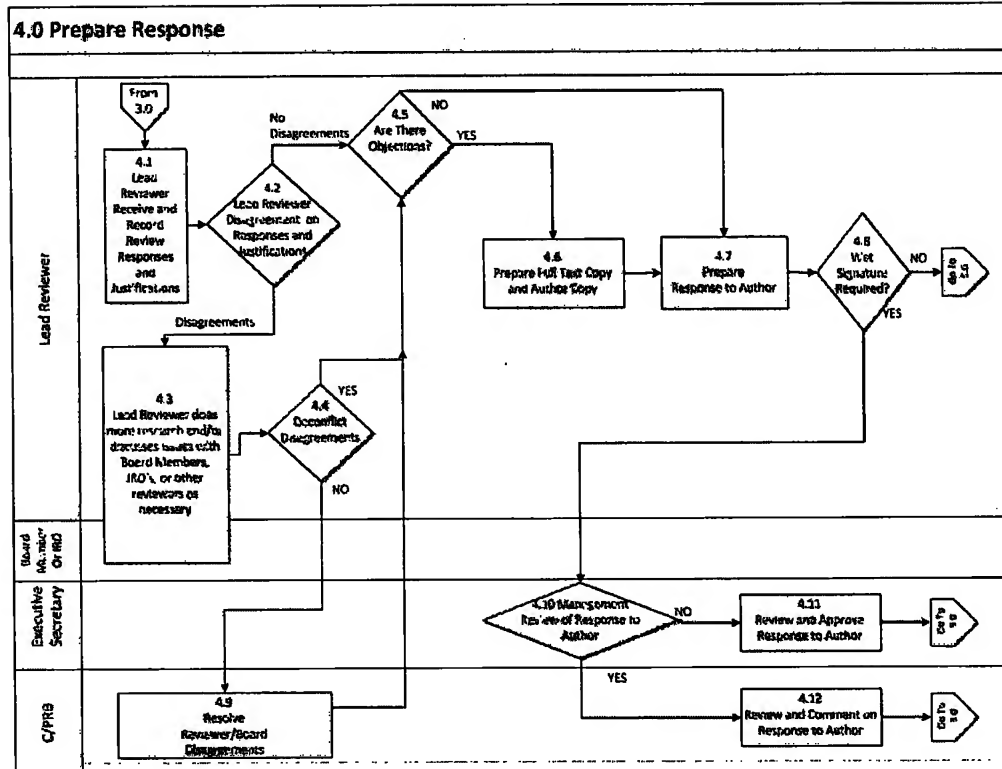
- PRB Supervisor and/or Executive Secretary will review the Response to the Author and edit as needed.

Role(s) Performing Activity: PRB Supervisor and/or Executive Secretary

Activity Input: Wet Signature Determination by the Lead Reviewer

Activity Output: PRB Supervisor and/or Executive Secretary Reviews and Approves Response to Author and signs the Response to Author Letter, if needed and edits as necessary.

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► 4.12 Review and Comment on Response to Author

- If determined to be appropriate by PRB Supervisor and/or Executive Secretary, C/PRB will review the Response to the Author and provide any additional comments. Lead Reviewer and/or Executive Secretary will take appropriate action to respond to the author.

Role(s) Performing Activity: C/PRB

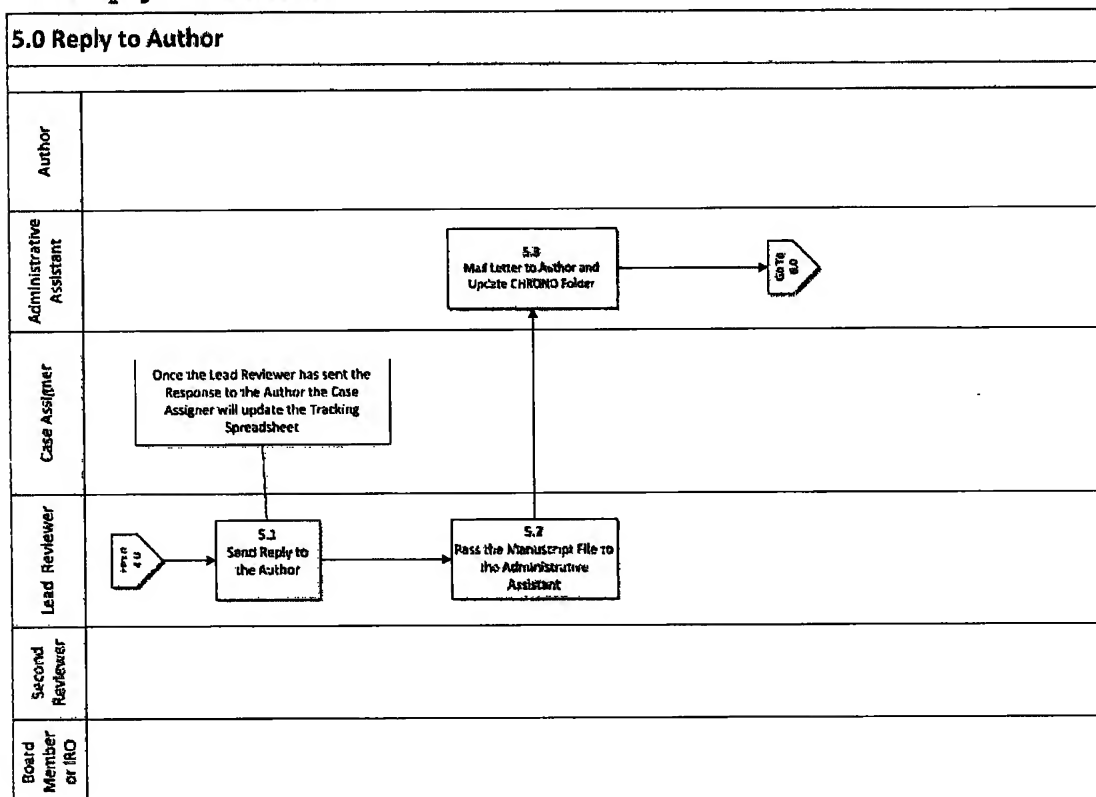
Activity Input: Determination by the Executive Secretary that the Response to the Author needs to be reviewed by the C/PRB

Activity Output: C/PRB reviews and provides any feedback to the Lead Reviewer and/or Executive Secretary who will take all appropriate action.

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5.0 Reply to Author



▷ 5.1 Reply to the Author

- If any review assignee wants to read the Response to the Author, they will need to consult the Manuscript File and/or the Author Folder located on the PRB S-drive.
- The Lead Reviewer will update their personal spreadsheet.
- If the Response to the Author is determined to be a signed letter, the Lead reviewer will create the letter and it will be mailed to the author by the Administrative Assistant in Activity 5.3.
- A hard copy memo may be created, if an email Response to the Author is not an option.

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If the Response to the Author is determined to be via an email, the Lead Reviewer creates an email using a Response to Author template, modifying as needed, and sends the email to the author.

Role(s) Performing Activity: Lead Reviewer

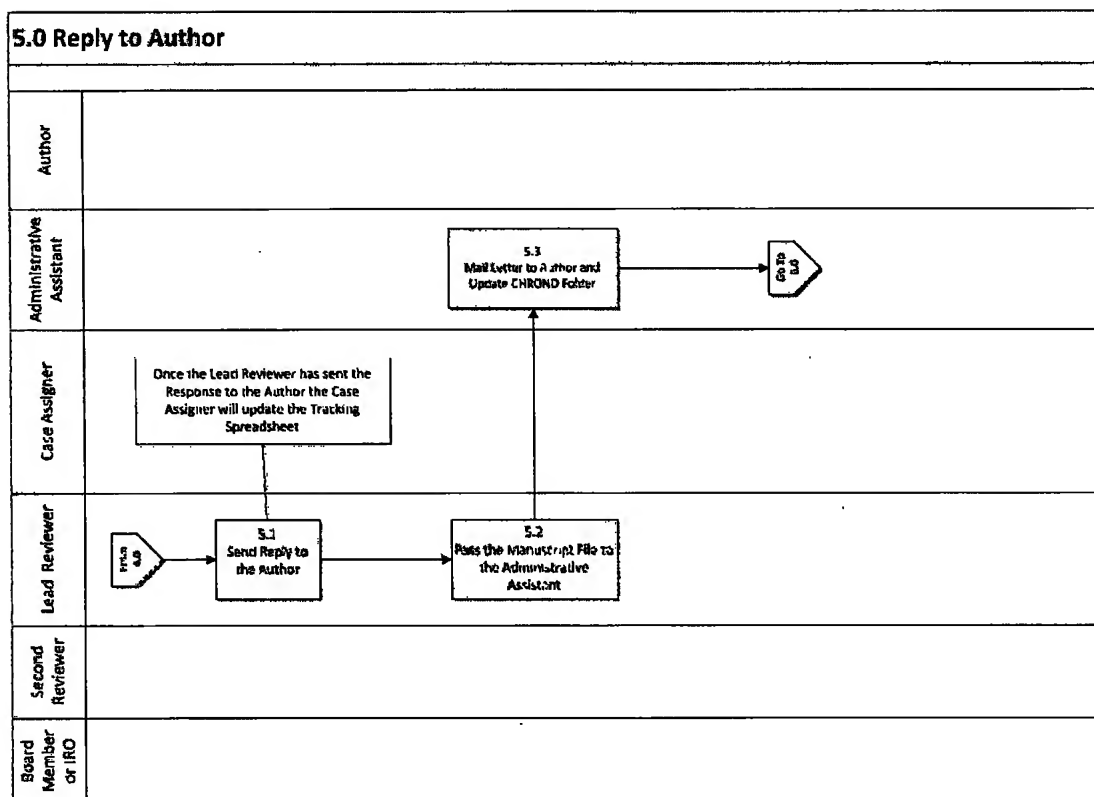
Activity Input: Fully reviewed and approved Response to the Author

Activity Output: Send Response to Author

Callout for 5.1

- Once the Lead Reviewer has sent the Response to the Author, the Case Assigner will update the PRB Tracking Spreadsheet in the S-drive.
 - The Case Assigner reviews low side (AIN) E-mails and the PRB LN Data Base entries for any notification that a PRB Reply was sent to the Author, which generally uses a prescribed template. Once it is determined that a Reply to the Author has been completed, the Case Assigner deletes the "Date Assigned" and "Current Pages" values in the Case Tracking Spreadsheet for that case.
 - This action updates the values for the Total Pages, # Open Cases, Total # Cases, and Current Total Pages columns. Additionally, if there are no values in the Current Pages or Date Assigned cells, the case is considered closed.
 - A null value in pages, but a value in date assigned means case is "on hold" or waiting for a response. The reviewer has no action at this time.

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▼ 5.2 Pass the Manuscript File to the Administrative Assistant

- The Lead Reviewer will arrange the hard copy Manuscript File as detailed below and then pass to the Administrative Assistant.
- The order of items in the hard copy Manuscript file is the same for all PRB reviews, including non-standard reviews.
- Approvals – Order of items in the hard copy Manuscript File
 - Approval Email/letter/memo (2 copies) set sideways (each stapled if more than 1 page)
 - Reverse chronological order for all responses (each response should be stapled if more than 1 page)

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- Lead Reviewer original tasking email (stapled if more than 1 page)
- Bio of Author (if any)
- Cover History of Author (if any)
- Manuscript record from Access
- Author's original email to PRB
- Manuscript
- Any research (with a tab labeled research)
- Objections - Order of items in the hard copy Manuscript File
 - Objection letter/email/memo (2 copies of *signed* letter if emailed or mailed, or 2 copies of memo set sideways) set sideways (each stapled if more than 1 page)
 - The original letter and pages with black-outs goes to the author
 - Author copy of pages (only include the pages with black-outs paper clipped or binder clipped together)
 - Full text copy of pages (only include the pages with yellow highlights paper clipped or binder clipped together)
 - Reverse chronological order for all responses (each response should be stapled if more than 1 page)
 - Lead Reviewer original tasking email (stapled if more than 1 page)
 - Bio of Author (if any)

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- Cover History of Author (if any)
 - Manuscript record from Access
 - Author's original email to PRB
 - Manuscript
 - Any research (with a tab labeled research)
- The Lead Reviewer will print out two copies of the email Response to Author, one for the hard copy manuscript file and one for the CHRONO file per Step 5.3, if the response was made via email. If made via hard copy memo, three copies of the memo are printed, one for the author, one for the hard copy Manuscript file and one for CHRONO file per Step 5.3. The hard copy Response to the Author memo and associated author copy pages are physically placed in the Mail bin for the Administrative Assistant to mail.
 - If the Response to the Author required a "wet signature", the Lead Reviewer will make two copies of the original signed Response to Author letter and place those two copies in the hard copy Manuscript file and place the original hard copy signed letter in the Mail bin for the Administrative Assistant to mail. This letter will also have one attachment – one copy of the Author Copy pages that were copied by the Lead Reviewer as detailed in the item below.
 - The Lead Reviewer will make two copies of the Author Copy pages and place one copy of the Author Copy pages in the Manuscript hard copy file and attach the other copy to the associated Response to the Author signed letter. The signed letter and Author copy pages will be mailed by the Administrative Assistant to the author.
 - In cases when the Executive Secretary needs to concur on an Outside Activities Approval Request (Form 879), a third copy of the approval is provided to the Executive Secretary.

Role(s) Performing Activity: Lead Reviewer

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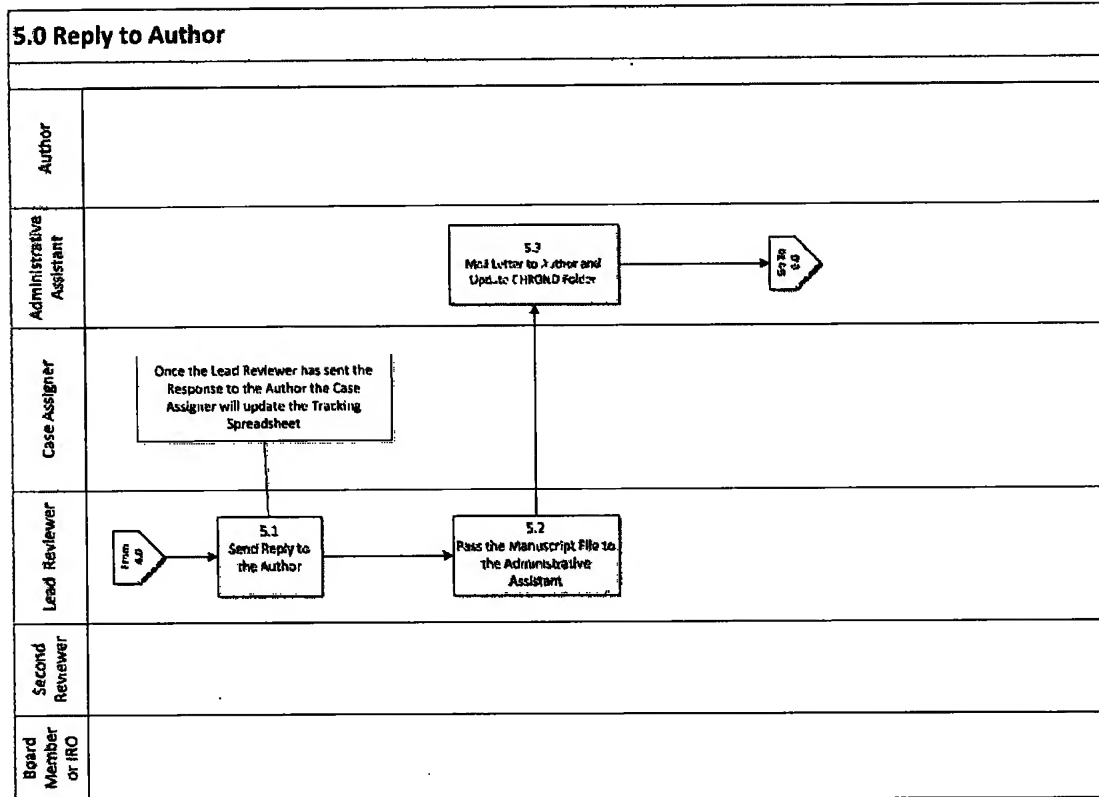
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Activity Input: Completed Manuscript File

Activity Output: Manuscript File passed to Administrative Assistant from the Lead Reviewer. The Prepublication Review Checklist and Routing Sheet is updated. One copy of the signed Response to Author letter and associated Author Copy pages are placed in Administrative Assistant Mail bin, if the response is mailed.

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▼ 5.3 Mail Letter to Author and Update CHRONO File

- For a hard copy signed letter, the original is mailed to the author by the Administrative Assistant, one copy remains in the hard copy Manuscript File, and one copy is placed in the CHRONO File as a backup.
- For Appeals, the hard copy signed letter to the author and associated attachments are provided to the PRB Administrative Assistant to mail. The hard copy Manuscript file is passed to the Administrative Assistant who includes a hard copy of the letter and of the attachments in the file. Another copy of the letter and attachments are placed in the CHRONO file, per above.

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- The following action applies to email and memo Responses to the Author. One copy remains in the Manuscript File, and one copy is placed in the CHRONO File as a backup.

Role(s) Performing Activity: Administrative Assistant

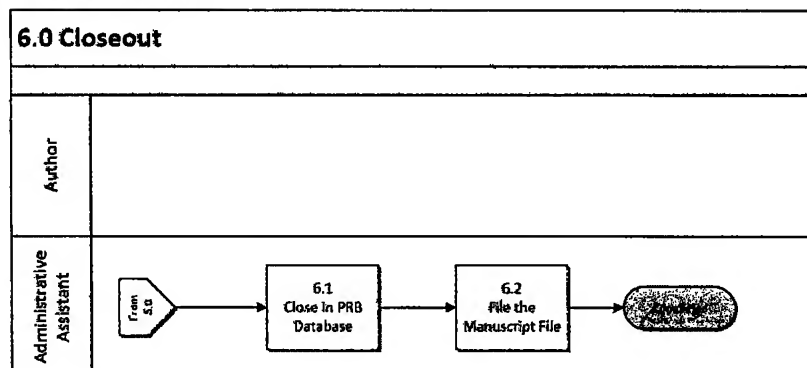
Activity Input: Manuscript File submittal from Lead Reviewer

Activity Output: Letter Mailed to Author and one copy placed in CHRONO File, otherwise one copy of Author response placed in CHRONO File.

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6.0 Closeout



► 6.1 Close in PRB Database

- Administrative Assistant checks to be sure that all the review steps are completed and then updates to PRB data base.
- Date Closed, Author Notified, and Action items are filled out in PRB Database by the Administrative Assistant.
- For Official manuscripts where IRO has the action, the Lead Reviewer will initiate the case closure and provide the Administrative Assistant with the file, so that the case can be closed in the PRB database.

Non-standard review cases follow the same closure case procedures.

Role(s) Performing Activity: Administrative Assistant

Activity Input: Manuscript File submittal from Lead Reviewer

Activity Output: Manuscript File status marked Closed in PRB Database.

► 6.2 File the Manuscript File

- Administrative Assistant reviews hard copy manuscript file to ensure it is complete and physically files both the Manuscript and Author file.

Role(s) Performing Activity: Administrative Assistant

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Activity Input: Manuscript File status marked Closed in PRB Database

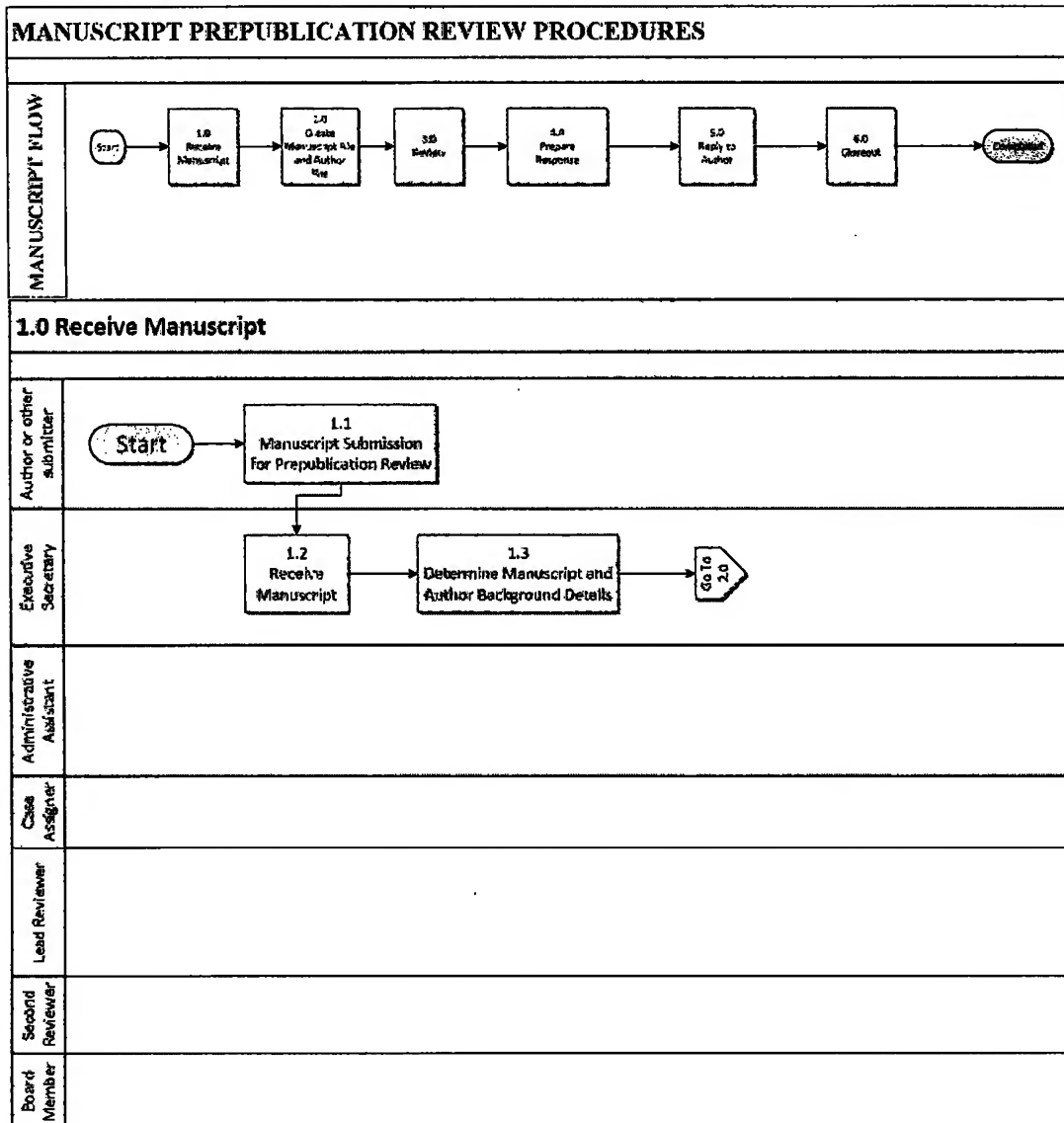
Activity Output: Administrative Assistant Files the Manuscript File and Author file.

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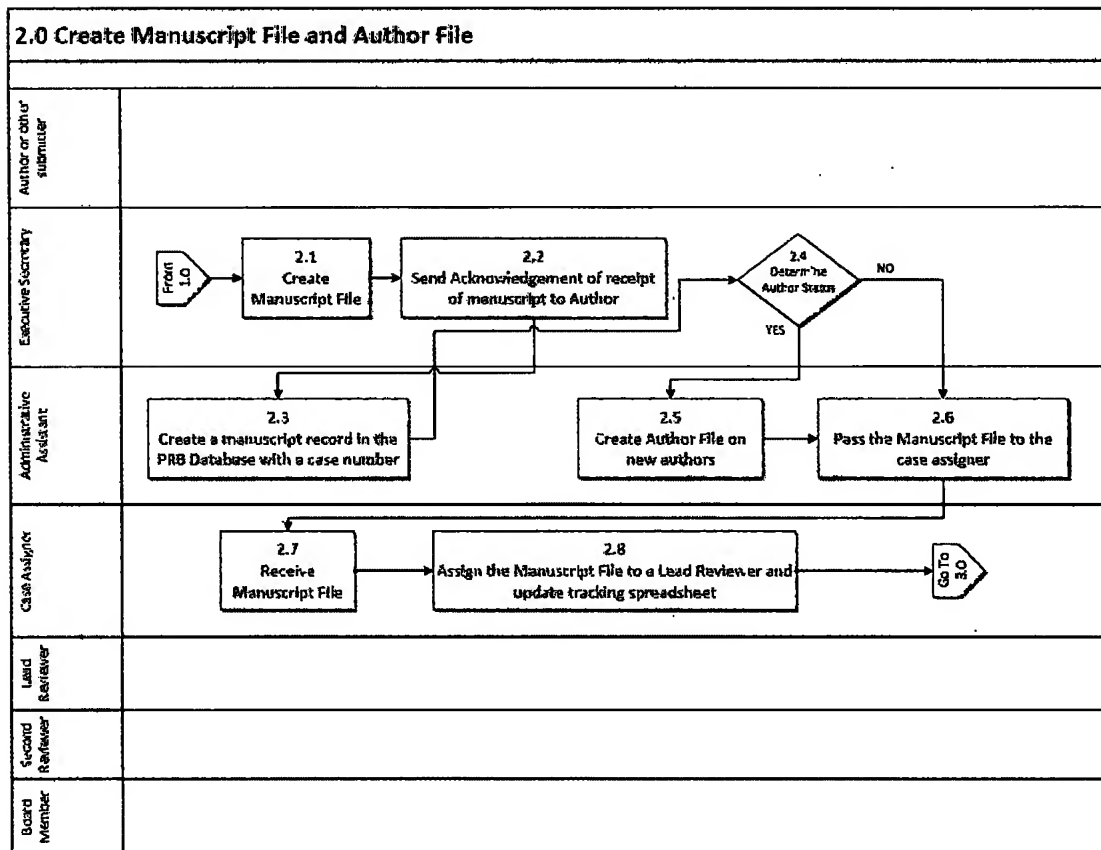
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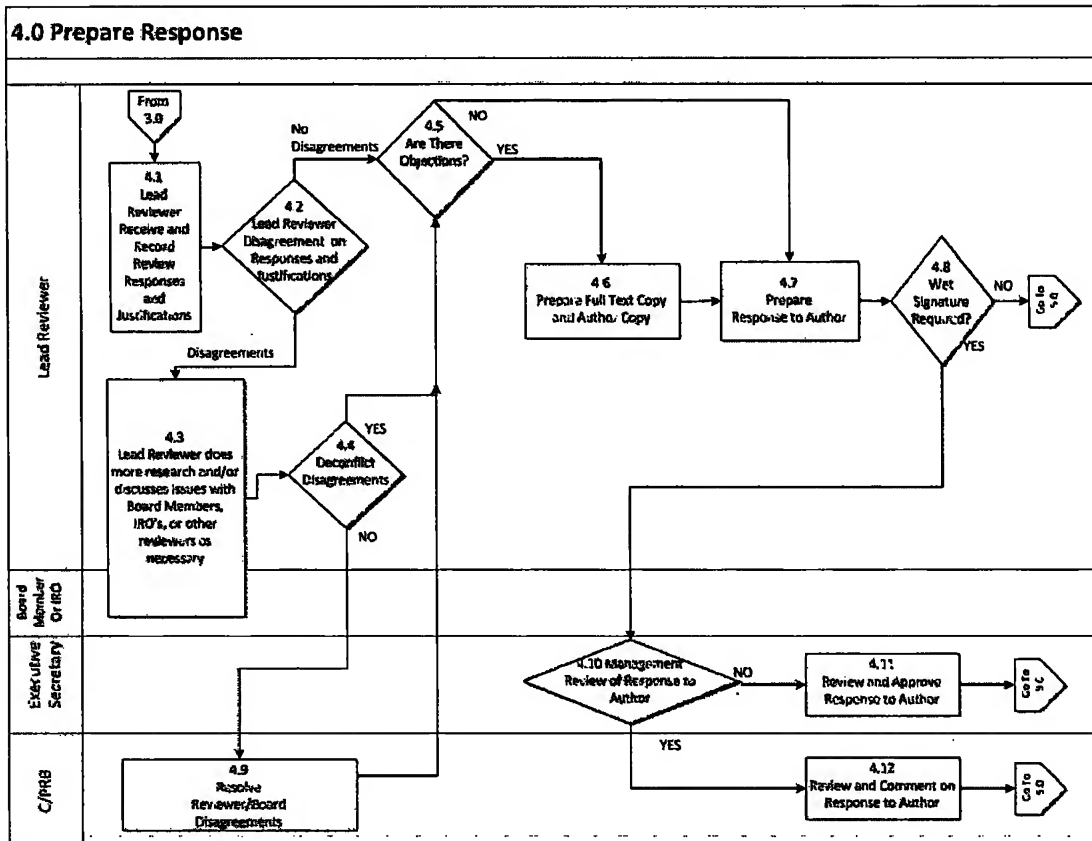
Manuscript Process Maps



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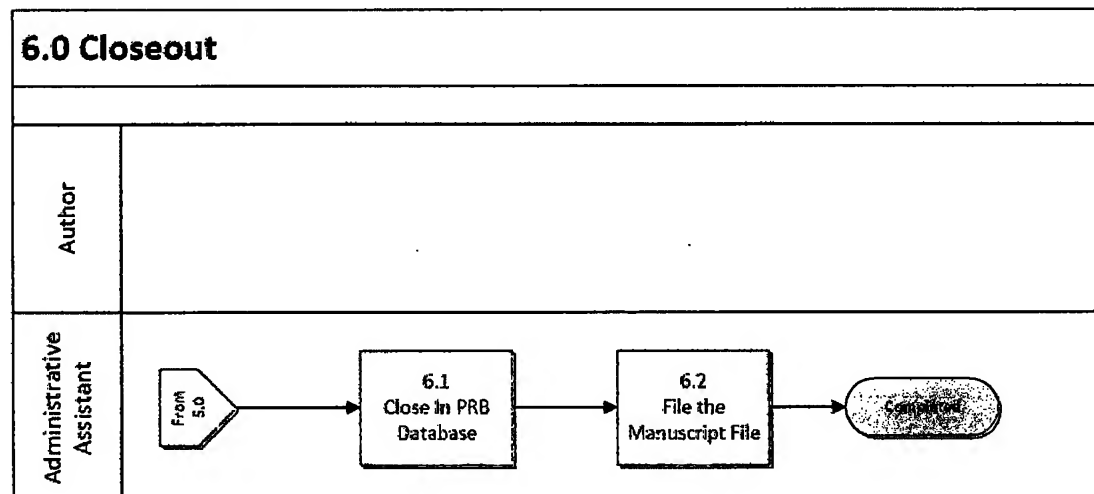
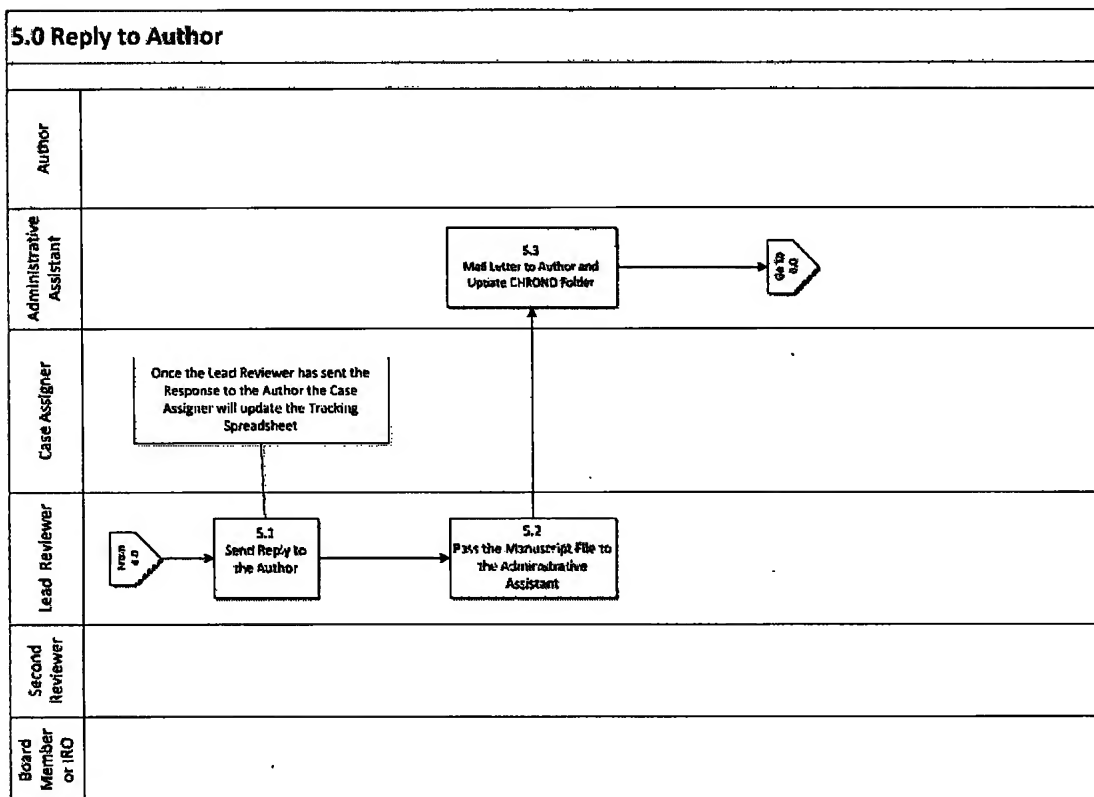
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